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
ALATION, INC. RETIREMENT TRUST

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 01/01/2016

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)
ALATION, INC.

3 LAGOON DRIVE, SUITE 300
REDWOOD CITY, CA 94065

2b Employer Identification Number (EIN) 46-1989601

2c Plan Sponsor's telephone number 408-772-1893

2d Business code (see instructions) 511210

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

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

SIGN HERE	Filed with authorized/valid electronic signature.	10/13/2021	CINDY BLOCH
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address [X] Same as Plan Sponsor

3b Administrator's EIN

3c Administrator's telephone number

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

a Sponsor's name

c Plan Name

4b EIN

4d PN

5	Total number of participants at the beginning of the plan year	**5**	221
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)**	198
a(2)	Total number of active participants at the end of the plan year	**6a(2)**	205
b	Retired or separated participants receiving benefits	**6b**	0
c	Other retired or separated participants entitled to future benefits	**6c**	55
d	Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	260
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	0
f	Total. Add lines **6d** and **6e**	**6f**	260
g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	241
h	Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	0
7	Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

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

2A 2S 2E 3D 2G 2J 2K 2F 2T

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)** [ ] ___ **A** (Insurance Information)
- **(4)** [X] **C** (Service Provider Information)
- **(5)** [ ] **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 Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**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	**B** Three-digit plan number (PN) ▶
ALATION, INC. RETIREMENT TRUST	001

C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)
ALATION, INC.	46-1989601

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

THE VANGUARD GROUP, INC

23-1945930

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

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

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

FORUSALL ADVISORS

46-1803145

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27 50	NONE	21924	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

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

THE VANGUARD GROUP, INC.

23-1945930

(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?
99 15 64 50 52 68	NONE	5784	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [ ] No [X]

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

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

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

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

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

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

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

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

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

Part I Service Provider Information (continued)

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

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

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

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

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

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

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

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

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

Part III	**Termination Information on Accountants and Enrolled Actuaries (see instructions)** (complete as many entries as needed)

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

SCHEDULE 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
ALATION, INC. RETIREMENT TRUST

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
ALATION, INC.

D Employer Identification Number (EIN)
46-1989601

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 reported on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions	1b(2)	87586	52691
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	10792	130448
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	49773	0
(9) Value of interest in common/collective trusts	1c(9)		
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	5313983	8938091
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)		

			(a) Beginning of Year	**(b)** End of Year
1d	Employer-related investments:			
	(1) Employer securities	1d(1)		
	(2) Employer real property	1d(2)		
e	Buildings and other property used in plan operation	1e		
f	Total assets (add all amounts in lines 1a through 1e)	1f	5462134	9121230
	Liabilities			
g	Benefit claims payable	1g		
h	Operating payables	1h		
i	Acquisition indebtedness	1i		
j	Other liabilities	1j		10143
k	Total liabilities (add all amounts in lines 1g through1j)	1k	0	10143
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	1l	5462134	9111087

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)		
	(B) Participants	2a(1)(B)	2849483	
	(C) Others (including rollovers)	2a(1)(C)	228327	
	(2) Noncash contributions	2a(2)		
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	2a(3)		3077810
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	231	
	(B) U.S. Government securities	2b(1)(B)		
	(C) Corporate debt instruments	2b(1)(C)		
	(D) Loans (other than to participants)	2b(1)(D)	0	
	(E) Participant loans	2b(1)(E)	2306	
	(F) Other	2b(1)(F)		
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	2b(1)(G)		2537
	(2) Dividends: **(A)** Preferred stock	2b(2)(A)		
	(B) Common stock	2b(2)(B)		
	(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	145100	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	2b(2)(D)		145100
	(3) Rents	2b(3)		
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	2b(4)(A)		
	(B) Aggregate carrying amount (see instructions)	2b(4)(B)		
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	2b(4)(C)		0
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	2b(5)(A)		
	(B) Other	2b(5)(B)		
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	2b(5)(C)		0

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		1095584
c Other income	2c		
d Total income. Add all **income** amounts in column (b) and enter total	2d		4321031
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	635072	
(2) To insurance carriers for the provision of benefits	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		635072
f Corrective distributions (see instructions)	2f		9298
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses: **(1)** Professional fees	2i(1)		
(2) Contract administrator fees	2i(2)	5784	
(3) Investment advisory and management fees	2i(3)	21924	
(4) Other	2i(4)		
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		27708
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		672078
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		3648953
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

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

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

(1) [ ] Unmodified **(2)** [ ] Qualified **(3)** [X] 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: FRANK RIMMERMAN + CO. LLP **(2)** EIN: 94-1341042

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		275398

			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		500000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	**4f**		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4g**		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4h**		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	**4i**	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)	**4j**		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	**4k**		X	
l	Has the plan failed to provide any benefit when due under the plan?	**4l**		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	**4m**		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	**4n**			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No

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

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

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

5c 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
ALATION, INC. RETIREMENT TRUST

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
ALATION, INC.

D Employer Identification Number (EIN)
46-1989601

Part I Distributions

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

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

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

EIN(s): 45-0404698

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_____



Alation, Inc. Retirement Trust
Financial Statements and Supplemental Schedules
with
Independent Auditors' Report
December 31, 2020 and 2019

Frank, Rimerman + Co. LLP

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Plan Administrator
Alation, Inc. Retirement Trust
Redwood City, California

Certified
Public
Accountants

INDEPENDENT AUDITORS' REPORT

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of the Alation, Inc. Retirement Trust (the Plan), which comprise the statements of net assets available for benefits as of December 31, 2020 and 2019, and the related statement of changes in net assets available for benefits for the year ended December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditors' 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 (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 3, which was certified by Ascensus Trust Company (Ascensus), the Plan's trustee except for comparing such information with the related information included in the financial statements.

An independent member of Baker Tilly International

Frank Rimerman + Co. LLP is a member of the global network of Baker Tilly International Ltd., the members of which are separate and independent legal entities.

Basis for Disclaimer of Opinion (continued)

We have been informed by the Plan administrator that Ascensus holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from Ascensus as of December 31, 2020 and 2019, and for the year ended December 31, 2020, that the information provided to the Plan administrator by Ascensus 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.

Report on Supplemental Schedules

The supplemental schedules as of and for the year ended December 31, 2020, listed in the accompanying table of contents, are required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA and are presented for the purpose of additional analysis and are not a part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on the supplemental schedules.

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

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



San Jose, California
October 7, 2021

Alation, Inc. Retirement Trust
Statements of Net Assets Available for Benefits

	December 31, 2020	2019
Assets		
Investments, at fair value:		
Mutual funds	$ 8,938,091	$ 5,279,533
Money market fund	130,448	34,450
Total investments	9,068,539	5,313,983
Participant contributions receivable	52,691	87,586
Non-interest bearing cash	-	10,792
Note receivable from participant	-	49,773
Liabilities		
Liability for corrective distributions	10,143	-
Net Assets Available for Benefits	$ 9,111,087	$ 5,462,134

See Independent Auditors' Report and Notes to Financial Statements

Alation, Inc. Retirement Trust
Statement of Changes in Net Assets Available for Benefits
Year Ended December 31, 2020

Additions to Net Assets	
Investment income:	
Net appreciation in fair value of investments	$ 1,095,584
Interest and dividends	145,331
Net investment income	1,240,915
Interest on note receivable from participants	2,306
Net income	1,243,221
Contributions:	
Participant	2,849,483
Participant rollover	228,327
Total contributions	3,077,810
Total additions	4,321,031
Deductions from Net Assets	
Benefits paid to participants	644,370
Account maintenance, benefit payment and note fees	27,708
Total deductions	672,078
Net Increase	3,648,953
Net Assets Available for Benefits	
December 31, 2019	5,462,134
December 31, 2020	$ 9,111,087

See Independent Auditors' Report and Notes to Financial Statements

1. Description of the Plan

Alation, Inc. (the Company) established the Alation, Inc. Retirement Trust (the Plan), effective January 1, 2016, to provide participants with a means to fund their retirement on a tax-deferred basis. The Plan was amended and restated effective February 1, 2019.

The following description of the Plan provides only general information. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

General:

The Plan is a defined contribution plan under Sections 401(a) and 401(k) and related provisions of the Internal Revenue Code (the Code) and applicable state laws. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

The Company is the Plan sponsor and has a 401(k) Plan Committee, which consists of Company employees, that govern the Plan. The Company has engaged ForUsAll, Inc. (ForUsAll) as a co-fiduciary investment advisor and to serve as the Plan administrator. ForUsAll administers the Plan and assists the Plan's 401(k) Plan Committee in selecting investment options offered under the Plan and monitoring investment performance. Ascensus Trust Company (Ascensus) is the Plan's trustee and Ascensus, Inc. as the Plan's record keeper. Ascensus holds, invests and reinvests Plan assets in the interest and direction of the participants and their beneficiaries.

Eligible Participants:

Employees, as defined by the Plan, may participate in the Plan at any time following the completion of one month of service after their date of hire.

Contributions:

Participants are permitted to make voluntary pre-tax salary deferral and post-tax contributions up to 92% of their annual compensation, as defined under the Plan. Participants who have reached the age of 50 may also elect to withhold additional catch-up contributions under the Code. Participants may also contribute amounts representing distributions from other qualified defined contribution or defined benefit plans (rollovers), subject to Code regulations.

1. Description of the Plan (continued)

Contributions: (continued)

The Plan provides for automatic Plan enrollment on a participant's eligibility date. The automatic salary deferral contributions for eligible participants is 5% of their compensation, unless the participants request a different amount to be contributed or formally decline participation. In January of each year, the automatic contribution percentage increases 2%, until it reaches a maximum of 15% of compensation, unless the participants make an affirmative election to change the deferral percentage or formally decline participation. Participants may adjust their salary deferral rate or discontinue their contributions at any time.

The Company may make discretionary matching and profit-sharing contributions to the Plan, as determined by the Board of Directors; however, no such contributions have been made through December 31, 2020.

Contributions are subject to certain limitations under the Code.

Participant Accounts:

Participant accounts are credited with participant contributions, rollovers, and an allocation of Plan earnings or losses. Allocations are based on participant earnings or account balances, in accordance with Plan provisions. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

Participants may elect to invest their accounts in a variety of participant-directed investment options offered by the Plan that are designed to provide the participants with a wide range of investment options. A participant may authorize transfers among investment options at any time.

Vesting:

Participants are immediately fully (100%) vested in their contributions and discretionary Company matching contributions made on the participant's behalf, if any, plus actual earnings (less any losses) thereon. Vesting in Company profit-sharing contributions, if any, plus allocated earnings (less any losses) thereon, is based on years of service. Participants vest in Company profit-sharing contributions at the rate of 30% after one year of service, 50% after two years of service and is fully (100%) vested after three years. Participants would also become fully vested in Company profit-sharing contributions, upon death, permanent disability, or normal retirement age.

1. Description of the Plan (continued)

Forfeited Accounts:

The forfeitures account represents participant contributions made in error that were refunded by the Company outside of the Plan. The forfeiture balance or forfeitures from the Company's discretionary matching or profit sharing contributions, if any, may be used to reduce future Company contributions and or to pay Plan expenses.

Notes Receivable from Participants:

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Delinquent participant notes are reclassified as distributions based upon the terms of the Plan agreement.

Participants may borrow up to one-half of their account balance up to $50,000 for a period not to exceed five years, except for notes used to purchase a primary residence for which longer terms may be permitted. Participant notes are evidenced by a written note, secured by the balance in the participant's account, and bear interest at a rate commensurate with local prevailing rates, as determined by the Plan administrator under the Plan's note policy. Repayment of principal and interest is generally made through payroll deductions. There were no participant notes receivable at December 31, 2020.

Note receivable transactions with participants would qualify as party-in-interest transactions. These party-in-interest transactions would be exempt from the prohibited transaction rules under ERISA.

Payment of Benefits:

Upon termination of service, participants may elect to leave their account balances in the Plan or receive their benefits in a lump sum amount equal to the value of the participant's account, or in installment payments. The Plan may elect to distribute a terminated participant's account balance without participant consent if the vested balance is $5,000 or less. Any participant account balance between $1,001 and $5,0000 distributed without participant consent and before the participant's normal retirement age, as defined by the Plan, will be automatically rolled over to an individual retirement account on behalf of the participant. Benefits are recorded when paid.

1. Description of the Plan (continued)

Payment of Benefits: (continued)

In April 2020, the Plan implemented certain provisions under the Coronavirus Aid, Relief, and Economic Security Act (the CARES Act), allowing eligible participants to take COVID-19 related distributions. Through December 30, 2020, qualified participants were permitted to take a CARES Act distribution of up to $100,000 due to adverse financial consequences experienced from the COVID-19 pandemic. The Plan also waived its requirement for minimum required distributions to be made in 2020.

Liability for Corrective Distributions:

The liability for corrective distributions represents contributions made by certain participants that must be refunded for the Plan to comply with annual deferral limits per IRS and DOL guidelines. The December 31, 2020 liability of $10,143 was refunded in 2021.

Plan Expenses:

Several of the investment fund options are subject to investment fees based on a percentage of invested assets, as disclosed in the fund's prospectus. All such fees are charged directly against the fund's investment performance and, thus, are not separately disclosed in the accompanying financial statements. Account maintenance, benefit payment and note fees are paid by the Plan and charged to participant accounts. All other administrative expenses related to the Plan are paid by the Company and are not reflected in these financial statements.

Risks and Uncertainties:

Participants may invest their account balances in a variety of investment options offered by the Plan. Investments are exposed to various risks, such as interest rate, market fluctuation and credit risks. Due to the level of risk associated with certain investment options offered by the Plan, it is at least reasonably possible changes in risk in the near term could materially affect participant account balances and the amounts reported in the statement of net assets available for benefits.

The outbreak of the novel coronavirus continues to materially and adversely impacted global commercial activity and contribute to volatility in financial markets. The outbreak is having, and will likely continue to have, a material adverse impact on economic and market conditions for the foreseeable future. This presents uncertainty and risk with respect to the Plan, its future performance, and its future financial results.

1. Description of the Plan (continued)

Plan Termination:

Although it has not expressed any intent to do so, the Company has the right under the Plan to terminate the Plan at any time, subject to the provisions of ERISA. In the event of a Plan termination, participants would remain fully vested in their accounts and distributions would be made to participants as described in the Plan agreement.

2. Summary of Significant Accounting Policies

Basis of Accounting:

The Plan's financial statements are prepared on the accrual method of accounting in accordance with accounting principles generally accepted in the United States of America (GAAP).

Use of Estimates:

The preparation of financial statements in conformity with GAAP requires the Plan administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

Investments:

Investments consist of mutual funds and a money market fund. These funds are reported at fair value, which is the net asset value (NAV) of shares held by the Plan at year end, as quoted in active markets. It is not probable the funds will be sold at amounts that differ materially from the NAV of shares held.

Fair Value Measurement:

The Plan uses a three-level hierarchy for fair value measurement based on the nature of inputs used in the valuation of an asset or liability as of the measurement date. The three-level hierarchy prioritizes, within the measurement of fair value, the use of market-based information over entity-specific information. Fair value focuses on an exit price and is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The inputs or methodology used for valuing financial instruments are not necessarily an indication of the risk associated with those instruments.

2. Summary of Significant Accounting Policies (continued)

Fair Value Measurement: (continued)

The three-level hierarchy for fair value measurement is defined as follows:

Level I: Inputs to the valuation methodology are quoted prices (unadjusted) for identical assets or liabilities in active markets.

Level II: Inputs to the valuation methodology include quoted prices for similar assets and liabilities in active markets, and inputs that are observable for the asset or liability, either directly or indirectly, for substantially the full term of the financial instrument.

Level III: Inputs to the valuation methodology, which are significant to the fair value measurement, are unobservable.

A financial instrument's categorization within the fair value hierarchy is based upon the lowest level of input that is significant to the fair value measurement.

The Plan's investments are classified as Level I within the fair value hierarchy at December 31, 2020 and 2019.

The Plan adopted Financial Accounting Standard Board Accounting Standards Update (ASU) 2018-13, *Disclosure Framework: Changes to the Disclosure Requirements for Fair Value Measurement*, on January 1, 2020. ASU 2018-13 eliminated the disclosure requirements of the amount of, reasons for, and the policy on transfers between Level I and Level II of the fair value hierarchy and modified certain disclosure requirements related to Level III recurring and nonrecurring fair value measurement. This standard was adopted retrospectively and had no material impact on the Plan's financial statements or disclosures.

Income Recognition:

Purchases and sales of investments are recorded on a trade-date basis. Interest income is recorded on the accrual method of accounting. Dividends are recorded on the ex-dividend date. Net appreciation includes gains and losses on the Plan's investments bought, sold or held during the year.

3. Information Prepared and Certified by Ascensus

Ascensus, as the Plan's trustee, has certified the fair value of the following assets held at December 31, 2020 and 2019, and the net income for the year ended December 31, 2020 that were used in the preparation of the accompanying financial statements and supplemental schedules.

	December 31, 2020	December 31, 2019
Investments, at fair value	9,068,539	5,313,983
Non-interest bearing cash	-	10,792
Total certified investments	9,068,539	5,324,775
Note receivable from participant	-	49,773
Total certified assets	$ 9,068,539	$ 5,374,548
Certified net income for the year ended December 31, 2020		$ 1,243,221

4. Income Tax Status

The Plan is a prototype plan offered by Ascensus, Inc. The Internal Revenue Service (IRS) has determined and informed Ascensus by a letter dated January 1, 2018, that the plan submitted for review was qualified under applicable provisions of the Code. The Plan has been amended since receipt of the letter. However, the Plan and Plan sponsor believe the Plan is designed and is currently being operated in compliance with the applicable requirements of the Code and related state statutes and is, therefore, qualified and the trust, which forms a part of the Plan, is exempt from federal and state income taxes.

GAAP require Plan management to evaluate income tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain income tax position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the income tax positions taken by the Plan and has concluded, at December 31, 2020, there are no uncertain income tax positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan is no longer subject to income tax examinations for years prior to 2017.

5. Prohibited Transactions

In 2020, the Company did not remit participant contributions and note repayments totaling $275,398 on a timely basis as required by the DOL. The DOL considers delinquent contributions to be nonexempt prohibited transactions with the Plan sponsor that can jeopardize the Plan's tax-exempt status. In 2021, the Company intends to contribute lost earnings to the Plan on all delinquent remittances.

6. Subsequent Events

Subsequent events have been evaluated through October 7, 2021, which is the date the financial statements were approved by the Plan and available to be issued.

Alation, Inc. Retirement Trust
(Employer Identification Number 46-1989601)
(Plan Number 001)
Supplemental Schedule Accompanying Form 5500
Schedule H, Line 4i - Schedule of Assets (Held at End of Year)
December 31, 2020

(a)	(b) Identity of issuer, borrower, lessor or similar party (c) Description of investment including maturity date rate of interest, collateral, par or maturity value.	(d) Cost	(e) Current Value
	Ascensus Trust Company:		
	Fidelity Mid Cap Index Fund	$ **	$ 207,871
	Fidelity Small Cap Index Fund	**	274,113
	Fidelity Total Market Index Fund	**	566,093
	Schwab S&P 500 Index Fund	**	524,123
	Vanguard Admiral Funds - Vanguard Treasury Money Market Fund	**	130,448
	Vanguard FTSE Social Index Fund Admiral Shares	**	38,501
	Vanguard Inflation-Protected Securities Fund Admiral Shares	**	40,994
	Vanguard Institutional Target Retirement 2015 Fund Institutional Shares	**	233,429
	Vanguard Institutional Target Retirement 2020 Fund Institutional Shares	**	325,046
	Vanguard Institutional Target Retirement 2025 Fund Institutional Shares	**	364,853
	Vanguard Institutional Target Retirement 2030 Fund Institutional Shares	**	541,077
	Vanguard Institutional Target Retirement 2035 Fund Institutional Shares	**	647,009
	Vanguard Institutional Target Retirement 2040 Fund Institutional Shares	**	674,764
	Vanguard Institutional Target Retirement 2045 Fund Institutional Shares	**	797,859
	Vanguard Institutional Target Retirement 2050 Fund Institutional Shares	**	825,823
	Vanguard Institutional Target Retirement 2055 Fund Institutional Shares	**	1,512,081
	Vanguard Institutional Target Retirement 2060 Fund Institutional Shares	**	398,484
	Vanguard Institutional Target Retirement 2065 Fund Institutional Shares	**	15,762
	Vanguard Long-Term Bond Index Fund Admiral Shares	**	579
	Vanguard Short-Term Bond Index Fund Admiral Shares	**	59,924
	Vanguard Target Retirement Income Fund Investor Shares	**	11,364
	Vanguard Total Bond Market Index Fund Admiral Shares	**	650,657
	Vanguard Total International Stock Index Fund Admiral Shares	**	227,685
	Total assets held at end of year		$ 9,068,539

** Cost information is not required as all investments are participant directed.

Alation, Inc. Retirement Trust
(Employer Identification Number 46-1989601)
(Plan Number 001)
Supplemental Schedule Accompanying Form 5500
Schedule H, Line 4a - Schedule of Delinquent Participant Contributions
Year Ended December 31, 2020

	Total Constituting Nonexempt Prohibited Transactions			
Contributions and Loan Repayments Transferred Late to Plan	Contributions and Loan Repayments not Corrected	Contributions and Loan Repayments Corrected Outside VFCP	Contributions and Loan Repayments Pending Correction in VFCP	Total Fully Corrected under VFCP & PTE 2002-51
$ 275,398	$ 275,398	$ -	$ -	$ -

In 2020, the Company did not remit participant contributions and loan repayments totaling $275,398, on a timely basis as required by the Department of Labor. The Department of Labor considers delinquent contributions to be nonexempt prohibited transactions with the Plan sponsor that can jeopardize the Plan's tax-exempt status. In 2021, the Company intends to contribute the lost earnings on the delinquent remittances.



Alation, Inc. Retirement Trust
Financial Statements and Supplemental Schedules
with
Independent Auditors' Report
December 31, 2020 and 2019

Frank, Rimerman + Co. LLP

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Plan Administrator
Alation, Inc. Retirement Trust
Redwood City, California

Certified
Public
Accountants

INDEPENDENT AUDITORS' REPORT

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of the Alation, Inc. Retirement Trust (the Plan), which comprise the statements of net assets available for benefits as of December 31, 2020 and 2019, and the related statement of changes in net assets available for benefits for the year ended December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditors' 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 (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 3, which was certified by Ascensus Trust Company (Ascensus), the Plan's trustee except for comparing such information with the related information included in the financial statements.

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Basis for Disclaimer of Opinion (continued)

We have been informed by the Plan administrator that Ascensus holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from Ascensus as of December 31, 2020 and 2019, and for the year ended December 31, 2020, that the information provided to the Plan administrator by Ascensus 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.

Report on Supplemental Schedules

The supplemental schedules as of and for the year ended December 31, 2020, listed in the accompanying table of contents, are required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA and are presented for the purpose of additional analysis and are not a part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on the supplemental schedules.

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

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



San Jose, California
October 7, 2021

Alation, Inc. Retirement Trust
Statements of Net Assets Available for Benefits

	December 31, 2020	2019
Assets		
Investments, at fair value:		
Mutual funds	$ 8,938,091	$ 5,279,533
Money market fund	130,448	34,450
Total investments	9,068,539	5,313,983
Participant contributions receivable	52,691	87,586
Non-interest bearing cash	-	10,792
Note receivable from participant	-	49,773
Liabilities		
Liability for corrective distributions	10,143	-
Net Assets Available for Benefits	$ 9,111,087	$ 5,462,134

See Independent Auditors' Report and Notes to Financial Statements

Alation, Inc. Retirement Trust
Statement of Changes in Net Assets Available for Benefits
Year Ended December 31, 2020

Additions to Net Assets	
Investment income:	
Net appreciation in fair value of investments	$ 1,095,584
Interest and dividends	145,331
Net investment income	1,240,915
Interest on note receivable from participants	2,306
Net income	1,243,221
Contributions:	
Participant	2,849,483
Participant rollover	228,327
Total contributions	3,077,810
Total additions	4,321,031
Deductions from Net Assets	
Benefits paid to participants	644,370
Account maintenance, benefit payment and note fees	27,708
Total deductions	672,078
Net Increase	3,648,953
Net Assets Available for Benefits	
December 31, 2019	5,462,134
December 31, 2020	$ 9,111,087

See Independent Auditors' Report and Notes to Financial Statements

1. Description of the Plan

Alation, Inc. (the Company) established the Alation, Inc. Retirement Trust (the Plan), effective January 1, 2016, to provide participants with a means to fund their retirement on a tax-deferred basis. The Plan was amended and restated effective February 1, 2019.

The following description of the Plan provides only general information. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

General:

The Plan is a defined contribution plan under Sections 401(a) and 401(k) and related provisions of the Internal Revenue Code (the Code) and applicable state laws. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

The Company is the Plan sponsor and has a 401(k) Plan Committee, which consists of Company employees, that govern the Plan. The Company has engaged ForUsAll, Inc. (ForUsAll) as a co-fiduciary investment advisor and to serve as the Plan administrator. ForUsAll administers the Plan and assists the Plan's 401(k) Plan Committee in selecting investment options offered under the Plan and monitoring investment performance. Ascensus Trust Company (Ascensus) is the Plan's trustee and Ascensus, Inc. as the Plan's record keeper. Ascensus holds, invests and reinvests Plan assets in the interest and direction of the participants and their beneficiaries.

Eligible Participants:

Employees, as defined by the Plan, may participate in the Plan at any time following the completion of one month of service after their date of hire.

Contributions:

Participants are permitted to make voluntary pre-tax salary deferral and post-tax contributions up to 92% of their annual compensation, as defined under the Plan. Participants who have reached the age of 50 may also elect to withhold additional catch-up contributions under the Code. Participants may also contribute amounts representing distributions from other qualified defined contribution or defined benefit plans (rollovers), subject to Code regulations.

1. Description of the Plan (continued)

Contributions: (continued)

The Plan provides for automatic Plan enrollment on a participant's eligibility date. The automatic salary deferral contributions for eligible participants is 5% of their compensation, unless the participants request a different amount to be contributed or formally decline participation. In January of each year, the automatic contribution percentage increases 2%, until it reaches a maximum of 15% of compensation, unless the participants make an affirmative election to change the deferral percentage or formally decline participation. Participants may adjust their salary deferral rate or discontinue their contributions at any time.

The Company may make discretionary matching and profit-sharing contributions to the Plan, as determined by the Board of Directors; however, no such contributions have been made through December 31, 2020.

Contributions are subject to certain limitations under the Code.

Participant Accounts:

Participant accounts are credited with participant contributions, rollovers, and an allocation of Plan earnings or losses. Allocations are based on participant earnings or account balances, in accordance with Plan provisions. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

Participants may elect to invest their accounts in a variety of participant-directed investment options offered by the Plan that are designed to provide the participants with a wide range of investment options. A participant may authorize transfers among investment options at any time.

Vesting:

Participants are immediately fully (100%) vested in their contributions and discretionary Company matching contributions made on the participant's behalf, if any, plus actual earnings (less any losses) thereon. Vesting in Company profit-sharing contributions, if any, plus allocated earnings (less any losses) thereon, is based on years of service. Participants vest in Company profit-sharing contributions at the rate of 30% after one year of service, 50% after two years of service and is fully (100%) vested after three years. Participants would also become fully vested in Company profit-sharing contributions, upon death, permanent disability, or normal retirement age.

1. Description of the Plan (continued)

Forfeited Accounts:

The forfeitures account represents participant contributions made in error that were refunded by the Company outside of the Plan. The forfeiture balance or forfeitures from the Company's discretionary matching or profit sharing contributions, if any, may be used to reduce future Company contributions and or to pay Plan expenses.

Notes Receivable from Participants:

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Delinquent participant notes are reclassified as distributions based upon the terms of the Plan agreement.

Participants may borrow up to one-half of their account balance up to $50,000 for a period not to exceed five years, except for notes used to purchase a primary residence for which longer terms may be permitted. Participant notes are evidenced by a written note, secured by the balance in the participant's account, and bear interest at a rate commensurate with local prevailing rates, as determined by the Plan administrator under the Plan's note policy. Repayment of principal and interest is generally made through payroll deductions. There were no participant notes receivable at December 31, 2020.

Note receivable transactions with participants would qualify as party-in-interest transactions. These party-in-interest transactions would be exempt from the prohibited transaction rules under ERISA.

Payment of Benefits:

Upon termination of service, participants may elect to leave their account balances in the Plan or receive their benefits in a lump sum amount equal to the value of the participant's account, or in installment payments. The Plan may elect to distribute a terminated participant's account balance without participant consent if the vested balance is $5,000 or less. Any participant account balance between $1,001 and $5,0000 distributed without participant consent and before the participant's normal retirement age, as defined by the Plan, will be automatically rolled over to an individual retirement account on behalf of the participant. Benefits are recorded when paid.

1. Description of the Plan (continued)

Payment of Benefits: (continued)

In April 2020, the Plan implemented certain provisions under the Coronavirus Aid, Relief, and Economic Security Act (the CARES Act), allowing eligible participants to take COVID-19 related distributions. Through December 30, 2020, qualified participants were permitted to take a CARES Act distribution of up to $100,000 due to adverse financial consequences experienced from the COVID-19 pandemic. The Plan also waived its requirement for minimum required distributions to be made in 2020.

Liability for Corrective Distributions:

The liability for corrective distributions represents contributions made by certain participants that must be refunded for the Plan to comply with annual deferral limits per IRS and DOL guidelines. The December 31, 2020 liability of $10,143 was refunded in 2021.

Plan Expenses:

Several of the investment fund options are subject to investment fees based on a percentage of invested assets, as disclosed in the fund's prospectus. All such fees are charged directly against the fund's investment performance and, thus, are not separately disclosed in the accompanying financial statements. Account maintenance, benefit payment and note fees are paid by the Plan and charged to participant accounts. All other administrative expenses related to the Plan are paid by the Company and are not reflected in these financial statements.

Risks and Uncertainties:

Participants may invest their account balances in a variety of investment options offered by the Plan. Investments are exposed to various risks, such as interest rate, market fluctuation and credit risks. Due to the level of risk associated with certain investment options offered by the Plan, it is at least reasonably possible changes in risk in the near term could materially affect participant account balances and the amounts reported in the statement of net assets available for benefits.

The outbreak of the novel coronavirus continues to materially and adversely impacted global commercial activity and contribute to volatility in financial markets. The outbreak is having, and will likely continue to have, a material adverse impact on economic and market conditions for the foreseeable future. This presents uncertainty and risk with respect to the Plan, its future performance, and its future financial results.

1. Description of the Plan (continued)

Plan Termination:

Although it has not expressed any intent to do so, the Company has the right under the Plan to terminate the Plan at any time, subject to the provisions of ERISA. In the event of a Plan termination, participants would remain fully vested in their accounts and distributions would be made to participants as described in the Plan agreement.

2. Summary of Significant Accounting Policies

Basis of Accounting:

The Plan's financial statements are prepared on the accrual method of accounting in accordance with accounting principles generally accepted in the United States of America (GAAP).

Use of Estimates:

The preparation of financial statements in conformity with GAAP requires the Plan administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

Investments:

Investments consist of mutual funds and a money market fund. These funds are reported at fair value, which is the net asset value (NAV) of shares held by the Plan at year end, as quoted in active markets. It is not probable the funds will be sold at amounts that differ materially from the NAV of shares held.

Fair Value Measurement:

The Plan uses a three-level hierarchy for fair value measurement based on the nature of inputs used in the valuation of an asset or liability as of the measurement date. The three-level hierarchy prioritizes, within the measurement of fair value, the use of market-based information over entity-specific information. Fair value focuses on an exit price and is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The inputs or methodology used for valuing financial instruments are not necessarily an indication of the risk associated with those instruments.

2. Summary of Significant Accounting Policies (continued)

Fair Value Measurement: (continued)

The three-level hierarchy for fair value measurement is defined as follows:

Level I: Inputs to the valuation methodology are quoted prices (unadjusted) for identical assets or liabilities in active markets.

Level II: Inputs to the valuation methodology include quoted prices for similar assets and liabilities in active markets, and inputs that are observable for the asset or liability, either directly or indirectly, for substantially the full term of the financial instrument.

Level III: Inputs to the valuation methodology, which are significant to the fair value measurement, are unobservable.

A financial instrument's categorization within the fair value hierarchy is based upon the lowest level of input that is significant to the fair value measurement.

The Plan's investments are classified as Level I within the fair value hierarchy at December 31, 2020 and 2019.

The Plan adopted Financial Accounting Standard Board Accounting Standards Update (ASU) 2018-13, *Disclosure Framework: Changes to the Disclosure Requirements for Fair Value Measurement*, on January 1, 2020. ASU 2018-13 eliminated the disclosure requirements of the amount of, reasons for, and the policy on transfers between Level I and Level II of the fair value hierarchy and modified certain disclosure requirements related to Level III recurring and nonrecurring fair value measurement. This standard was adopted retrospectively and had no material impact on the Plan's financial statements or disclosures.

Income Recognition:

Purchases and sales of investments are recorded on a trade-date basis. Interest income is recorded on the accrual method of accounting. Dividends are recorded on the ex-dividend date. Net appreciation includes gains and losses on the Plan's investments bought, sold or held during the year.

3. Information Prepared and Certified by Ascensus

Ascensus, as the Plan's trustee, has certified the fair value of the following assets held at December 31, 2020 and 2019, and the net income for the year ended December 31, 2020 that were used in the preparation of the accompanying financial statements and supplemental schedules.

	December 31, 2020	December 31, 2019
Investments, at fair value	9,068,539	5,313,983
Non-interest bearing cash	-	10,792
Total certified investments	9,068,539	5,324,775
Note receivable from participant	-	49,773
Total certified assets	$ 9,068,539	$ 5,374,548
Certified net income for the year ended December 31, 2020		$ 1,243,221

4. Income Tax Status

The Plan is a prototype plan offered by Ascensus, Inc. The Internal Revenue Service (IRS) has determined and informed Ascensus by a letter dated January 1, 2018, that the plan submitted for review was qualified under applicable provisions of the Code. The Plan has been amended since receipt of the letter. However, the Plan and Plan sponsor believe the Plan is designed and is currently being operated in compliance with the applicable requirements of the Code and related state statutes and is, therefore, qualified and the trust, which forms a part of the Plan, is exempt from federal and state income taxes.

GAAP require Plan management to evaluate income tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain income tax position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the income tax positions taken by the Plan and has concluded, at December 31, 2020, there are no uncertain income tax positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan is no longer subject to income tax examinations for years prior to 2017.

5. Prohibited Transactions

In 2020, the Company did not remit participant contributions and note repayments totaling $275,398 on a timely basis as required by the DOL. The DOL considers delinquent contributions to be nonexempt prohibited transactions with the Plan sponsor that can jeopardize the Plan's tax-exempt status. In 2021, the Company intends to contribute lost earnings to the Plan on all delinquent remittances.

6. Subsequent Events

Subsequent events have been evaluated through October 7, 2021, which is the date the financial statements were approved by the Plan and available to be issued.

Alation, Inc. Retirement Trust
(Employer Identification Number 46-1989601)
(Plan Number 001)
Supplemental Schedule Accompanying Form 5500
Schedule H, Line 4i - Schedule of Assets (Held at End of Year)
December 31, 2020

(a)	(b) Identity of issuer, borrower, lessor or similar party (c) Description of investment including maturity date rate of interest, collateral, par or maturity value.	(d) Cost	(e) Current Value
	Ascensus Trust Company:		
	Fidelity Mid Cap Index Fund	$ **	$ 207,871
	Fidelity Small Cap Index Fund	**	274,113
	Fidelity Total Market Index Fund	**	566,093
	Schwab S&P 500 Index Fund	**	524,123
	Vanguard Admiral Funds - Vanguard Treasury Money Market Fund	**	130,448
	Vanguard FTSE Social Index Fund Admiral Shares	**	38,501
	Vanguard Inflation-Protected Securities Fund Admiral Shares	**	40,994
	Vanguard Institutional Target Retirement 2015 Fund Institutional Shares	**	233,429
	Vanguard Institutional Target Retirement 2020 Fund Institutional Shares	**	325,046
	Vanguard Institutional Target Retirement 2025 Fund Institutional Shares	**	364,853
	Vanguard Institutional Target Retirement 2030 Fund Institutional Shares	**	541,077
	Vanguard Institutional Target Retirement 2035 Fund Institutional Shares	**	647,009
	Vanguard Institutional Target Retirement 2040 Fund Institutional Shares	**	674,764
	Vanguard Institutional Target Retirement 2045 Fund Institutional Shares	**	797,859
	Vanguard Institutional Target Retirement 2050 Fund Institutional Shares	**	825,823
	Vanguard Institutional Target Retirement 2055 Fund Institutional Shares	**	1,512,081
	Vanguard Institutional Target Retirement 2060 Fund Institutional Shares	**	398,484
	Vanguard Institutional Target Retirement 2065 Fund Institutional Shares	**	15,762
	Vanguard Long-Term Bond Index Fund Admiral Shares	**	579
	Vanguard Short-Term Bond Index Fund Admiral Shares	**	59,924
	Vanguard Target Retirement Income Fund Investor Shares	**	11,364
	Vanguard Total Bond Market Index Fund Admiral Shares	**	650,657
	Vanguard Total International Stock Index Fund Admiral Shares	**	227,685
	Total assets held at end of year		$ 9,068,539

** Cost information is not required as all investments are participant directed.

Alation, Inc. Retirement Trust
(Employer Identification Number 46-1989601)
(Plan Number 001)
Supplemental Schedule Accompanying Form 5500
Schedule H, Line 4a - Schedule of Delinquent Participant Contributions
Year Ended December 31, 2020

	Total Constituting Nonexempt Prohibited Transactions			
Contributions and Loan Repayments Transferred Late to Plan	Contributions and Loan Repayments not Corrected	Contributions and Loan Repayments Corrected Outside VFCP	Contributions and Loan Repayments Pending Correction in VFCP	Total Fully Corrected under VFCP & PTE 2002-51
$ 275,398	$ 275,398	$ -	$ -	$ -

In 2020, the Company did not remit participant contributions and loan repayments totaling $275,398, on a timely basis as required by the Department of Labor. The Department of Labor considers delinquent contributions to be nonexempt prohibited transactions with the Plan sponsor that can jeopardize the Plan's tax-exempt status. In 2021, the Company intends to contribute the lost earnings on the delinquent remittances.



Alation, Inc. Retirement Trust
Financial Statements and Supplemental Schedules
with
Independent Auditors' Report
December 31, 2020 and 2019

Frank, Rimerman + Co. LLP

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Plan Administrator
Alation, Inc. Retirement Trust
Redwood City, California

Certified
Public
Accountants

INDEPENDENT AUDITORS' REPORT

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of the Alation, Inc. Retirement Trust (the Plan), which comprise the statements of net assets available for benefits as of December 31, 2020 and 2019, and the related statement of changes in net assets available for benefits for the year ended December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

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

Auditors' 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 (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 3, which was certified by Ascensus Trust Company (Ascensus), the Plan's trustee except for comparing such information with the related information included in the financial statements.

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Basis for Disclaimer of Opinion (continued)

We have been informed by the Plan administrator that Ascensus holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from Ascensus as of December 31, 2020 and 2019, and for the year ended December 31, 2020, that the information provided to the Plan administrator by Ascensus 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.

Report on Supplemental Schedules

The supplemental schedules as of and for the year ended December 31, 2020, listed in the accompanying table of contents, are required by the DOL's Rules and Regulations for Reporting and Disclosure under ERISA and are presented for the purpose of additional analysis and are not a part of the financial statements. Because of the significance of the matter described in the *Basis for Disclaimer of Opinion* paragraph, we do not express an opinion on the supplemental schedules.

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

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



San Jose, California
October 7, 2021

Alation, Inc. Retirement Trust
Statements of Net Assets Available for Benefits

	December 31, 2020	2019
Assets		
Investments, at fair value:		
Mutual funds	$ 8,938,091	$ 5,279,533
Money market fund	130,448	34,450
Total investments	9,068,539	5,313,983
Participant contributions receivable	52,691	87,586
Non-interest bearing cash	-	10,792
Note receivable from participant	-	49,773
Liabilities		
Liability for corrective distributions	10,143	-
Net Assets Available for Benefits	$ 9,111,087	$ 5,462,134

See Independent Auditors' Report and Notes to Financial Statements

Alation, Inc. Retirement Trust
Statement of Changes in Net Assets Available for Benefits
Year Ended December 31, 2020

Additions to Net Assets	
Investment income:	
Net appreciation in fair value of investments	$ 1,095,584
Interest and dividends	145,331
Net investment income	1,240,915
Interest on note receivable from participants	2,306
Net income	1,243,221
Contributions:	
Participant	2,849,483
Participant rollover	228,327
Total contributions	3,077,810
Total additions	4,321,031
Deductions from Net Assets	
Benefits paid to participants	644,370
Account maintenance, benefit payment and note fees	27,708
Total deductions	672,078
Net Increase	3,648,953
Net Assets Available for Benefits	
December 31, 2019	5,462,134
December 31, 2020	$ 9,111,087

See Independent Auditors' Report and Notes to Financial Statements

1. Description of the Plan

Alation, Inc. (the Company) established the Alation, Inc. Retirement Trust (the Plan), effective January 1, 2016, to provide participants with a means to fund their retirement on a tax-deferred basis. The Plan was amended and restated effective February 1, 2019.

The following description of the Plan provides only general information. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

General:

The Plan is a defined contribution plan under Sections 401(a) and 401(k) and related provisions of the Internal Revenue Code (the Code) and applicable state laws. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

The Company is the Plan sponsor and has a 401(k) Plan Committee, which consists of Company employees, that govern the Plan. The Company has engaged ForUsAll, Inc. (ForUsAll) as a co-fiduciary investment advisor and to serve as the Plan administrator. ForUsAll administers the Plan and assists the Plan's 401(k) Plan Committee in selecting investment options offered under the Plan and monitoring investment performance. Ascensus Trust Company (Ascensus) is the Plan's trustee and Ascensus, Inc. as the Plan's record keeper. Ascensus holds, invests and reinvests Plan assets in the interest and direction of the participants and their beneficiaries.

Eligible Participants:

Employees, as defined by the Plan, may participate in the Plan at any time following the completion of one month of service after their date of hire.

Contributions:

Participants are permitted to make voluntary pre-tax salary deferral and post-tax contributions up to 92% of their annual compensation, as defined under the Plan. Participants who have reached the age of 50 may also elect to withhold additional catch-up contributions under the Code. Participants may also contribute amounts representing distributions from other qualified defined contribution or defined benefit plans (rollovers), subject to Code regulations.

1. Description of the Plan (continued)

Contributions: (continued)

The Plan provides for automatic Plan enrollment on a participant's eligibility date. The automatic salary deferral contributions for eligible participants is 5% of their compensation, unless the participants request a different amount to be contributed or formally decline participation. In January of each year, the automatic contribution percentage increases 2%, until it reaches a maximum of 15% of compensation, unless the participants make an affirmative election to change the deferral percentage or formally decline participation. Participants may adjust their salary deferral rate or discontinue their contributions at any time.

The Company may make discretionary matching and profit-sharing contributions to the Plan, as determined by the Board of Directors; however, no such contributions have been made through December 31, 2020.

Contributions are subject to certain limitations under the Code.

Participant Accounts:

Participant accounts are credited with participant contributions, rollovers, and an allocation of Plan earnings or losses. Allocations are based on participant earnings or account balances, in accordance with Plan provisions. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

Participants may elect to invest their accounts in a variety of participant-directed investment options offered by the Plan that are designed to provide the participants with a wide range of investment options. A participant may authorize transfers among investment options at any time.

Vesting:

Participants are immediately fully (100%) vested in their contributions and discretionary Company matching contributions made on the participant's behalf, if any, plus actual earnings (less any losses) thereon. Vesting in Company profit-sharing contributions, if any, plus allocated earnings (less any losses) thereon, is based on years of service. Participants vest in Company profit-sharing contributions at the rate of 30% after one year of service, 50% after two years of service and is fully (100%) vested after three years. Participants would also become fully vested in Company profit-sharing contributions, upon death, permanent disability, or normal retirement age.

1. Description of the Plan (continued)

Forfeited Accounts:

The forfeitures account represents participant contributions made in error that were refunded by the Company outside of the Plan. The forfeiture balance or forfeitures from the Company's discretionary matching or profit sharing contributions, if any, may be used to reduce future Company contributions and or to pay Plan expenses.

Notes Receivable from Participants:

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Delinquent participant notes are reclassified as distributions based upon the terms of the Plan agreement.

Participants may borrow up to one-half of their account balance up to $50,000 for a period not to exceed five years, except for notes used to purchase a primary residence for which longer terms may be permitted. Participant notes are evidenced by a written note, secured by the balance in the participant's account, and bear interest at a rate commensurate with local prevailing rates, as determined by the Plan administrator under the Plan's note policy. Repayment of principal and interest is generally made through payroll deductions. There were no participant notes receivable at December 31, 2020.

Note receivable transactions with participants would qualify as party-in-interest transactions. These party-in-interest transactions would be exempt from the prohibited transaction rules under ERISA.

Payment of Benefits:

Upon termination of service, participants may elect to leave their account balances in the Plan or receive their benefits in a lump sum amount equal to the value of the participant's account, or in installment payments. The Plan may elect to distribute a terminated participant's account balance without participant consent if the vested balance is $5,000 or less. Any participant account balance between $1,001 and $5,0000 distributed without participant consent and before the participant's normal retirement age, as defined by the Plan, will be automatically rolled over to an individual retirement account on behalf of the participant. Benefits are recorded when paid.

1. Description of the Plan (continued)

Payment of Benefits: (continued)

In April 2020, the Plan implemented certain provisions under the Coronavirus Aid, Relief, and Economic Security Act (the CARES Act), allowing eligible participants to take COVID-19 related distributions. Through December 30, 2020, qualified participants were permitted to take a CARES Act distribution of up to $100,000 due to adverse financial consequences experienced from the COVID-19 pandemic. The Plan also waived its requirement for minimum required distributions to be made in 2020.

Liability for Corrective Distributions:

The liability for corrective distributions represents contributions made by certain participants that must be refunded for the Plan to comply with annual deferral limits per IRS and DOL guidelines. The December 31, 2020 liability of $10,143 was refunded in 2021.

Plan Expenses:

Several of the investment fund options are subject to investment fees based on a percentage of invested assets, as disclosed in the fund's prospectus. All such fees are charged directly against the fund's investment performance and, thus, are not separately disclosed in the accompanying financial statements. Account maintenance, benefit payment and note fees are paid by the Plan and charged to participant accounts. All other administrative expenses related to the Plan are paid by the Company and are not reflected in these financial statements.

Risks and Uncertainties:

Participants may invest their account balances in a variety of investment options offered by the Plan. Investments are exposed to various risks, such as interest rate, market fluctuation and credit risks. Due to the level of risk associated with certain investment options offered by the Plan, it is at least reasonably possible changes in risk in the near term could materially affect participant account balances and the amounts reported in the statement of net assets available for benefits.

The outbreak of the novel coronavirus continues to materially and adversely impacted global commercial activity and contribute to volatility in financial markets. The outbreak is having, and will likely continue to have, a material adverse impact on economic and market conditions for the foreseeable future. This presents uncertainty and risk with respect to the Plan, its future performance, and its future financial results.

1. Description of the Plan (continued)

Plan Termination:

Although it has not expressed any intent to do so, the Company has the right under the Plan to terminate the Plan at any time, subject to the provisions of ERISA. In the event of a Plan termination, participants would remain fully vested in their accounts and distributions would be made to participants as described in the Plan agreement.

2. Summary of Significant Accounting Policies

Basis of Accounting:

The Plan's financial statements are prepared on the accrual method of accounting in accordance with accounting principles generally accepted in the United States of America (GAAP).

Use of Estimates:

The preparation of financial statements in conformity with GAAP requires the Plan administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

Investments:

Investments consist of mutual funds and a money market fund. These funds are reported at fair value, which is the net asset value (NAV) of shares held by the Plan at year end, as quoted in active markets. It is not probable the funds will be sold at amounts that differ materially from the NAV of shares held.

Fair Value Measurement:

The Plan uses a three-level hierarchy for fair value measurement based on the nature of inputs used in the valuation of an asset or liability as of the measurement date. The three-level hierarchy prioritizes, within the measurement of fair value, the use of market-based information over entity-specific information. Fair value focuses on an exit price and is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The inputs or methodology used for valuing financial instruments are not necessarily an indication of the risk associated with those instruments.

2. Summary of Significant Accounting Policies (continued)

Fair Value Measurement: (continued)

The three-level hierarchy for fair value measurement is defined as follows:

Level I: Inputs to the valuation methodology are quoted prices (unadjusted) for identical assets or liabilities in active markets.

Level II: Inputs to the valuation methodology include quoted prices for similar assets and liabilities in active markets, and inputs that are observable for the asset or liability, either directly or indirectly, for substantially the full term of the financial instrument.

Level III: Inputs to the valuation methodology, which are significant to the fair value measurement, are unobservable.

A financial instrument's categorization within the fair value hierarchy is based upon the lowest level of input that is significant to the fair value measurement.

The Plan's investments are classified as Level I within the fair value hierarchy at December 31, 2020 and 2019.

The Plan adopted Financial Accounting Standard Board Accounting Standards Update (ASU) 2018-13, *Disclosure Framework: Changes to the Disclosure Requirements for Fair Value Measurement*, on January 1, 2020. ASU 2018-13 eliminated the disclosure requirements of the amount of, reasons for, and the policy on transfers between Level I and Level II of the fair value hierarchy and modified certain disclosure requirements related to Level III recurring and nonrecurring fair value measurement. This standard was adopted retrospectively and had no material impact on the Plan's financial statements or disclosures.

Income Recognition:

Purchases and sales of investments are recorded on a trade-date basis. Interest income is recorded on the accrual method of accounting. Dividends are recorded on the ex-dividend date. Net appreciation includes gains and losses on the Plan's investments bought, sold or held during the year.

3. Information Prepared and Certified by Ascensus

Ascensus, as the Plan's trustee, has certified the fair value of the following assets held at December 31, 2020 and 2019, and the net income for the year ended December 31, 2020 that were used in the preparation of the accompanying financial statements and supplemental schedules.

	December 31, 2020	December 31, 2019
Investments, at fair value	9,068,539	5,313,983
Non-interest bearing cash	-	10,792
Total certified investments	9,068,539	5,324,775
Note receivable from participant	-	49,773
Total certified assets	$ 9,068,539	$ 5,374,548
Certified net income for the year ended December 31, 2020		$ 1,243,221

4. Income Tax Status

The Plan is a prototype plan offered by Ascensus, Inc. The Internal Revenue Service (IRS) has determined and informed Ascensus by a letter dated January 1, 2018, that the plan submitted for review was qualified under applicable provisions of the Code. The Plan has been amended since receipt of the letter. However, the Plan and Plan sponsor believe the Plan is designed and is currently being operated in compliance with the applicable requirements of the Code and related state statutes and is, therefore, qualified and the trust, which forms a part of the Plan, is exempt from federal and state income taxes.

GAAP require Plan management to evaluate income tax positions taken by the Plan and recognize a tax liability if the Plan has taken an uncertain income tax position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the income tax positions taken by the Plan and has concluded, at December 31, 2020, there are no uncertain income tax positions taken or expected to be taken that would require recognition of a liability or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan is no longer subject to income tax examinations for years prior to 2017.

5. Prohibited Transactions

In 2020, the Company did not remit participant contributions and note repayments totaling $275,398 on a timely basis as required by the DOL. The DOL considers delinquent contributions to be nonexempt prohibited transactions with the Plan sponsor that can jeopardize the Plan's tax-exempt status. In 2021, the Company intends to contribute lost earnings to the Plan on all delinquent remittances.

6. Subsequent Events

Subsequent events have been evaluated through October 7, 2021, which is the date the financial statements were approved by the Plan and available to be issued.

Alation, Inc. Retirement Trust
(Employer Identification Number 46-1989601)
(Plan Number 001)
Supplemental Schedule Accompanying Form 5500
Schedule H, Line 4i - Schedule of Assets (Held at End of Year)
December 31, 2020

(a)	(b) Identity of issuer, borrower, lessor or similar party (c) Description of investment including maturity date rate of interest, collateral, par or maturity value.	(d) Cost	(e) Current Value
	Ascensus Trust Company:		
	Fidelity Mid Cap Index Fund	$ **	$ 207,871
	Fidelity Small Cap Index Fund	**	274,113
	Fidelity Total Market Index Fund	**	566,093
	Schwab S&P 500 Index Fund	**	524,123
	Vanguard Admiral Funds - Vanguard Treasury Money Market Fund	**	130,448
	Vanguard FTSE Social Index Fund Admiral Shares	**	38,501
	Vanguard Inflation-Protected Securities Fund Admiral Shares	**	40,994
	Vanguard Institutional Target Retirement 2015 Fund Institutional Shares	**	233,429
	Vanguard Institutional Target Retirement 2020 Fund Institutional Shares	**	325,046
	Vanguard Institutional Target Retirement 2025 Fund Institutional Shares	**	364,853
	Vanguard Institutional Target Retirement 2030 Fund Institutional Shares	**	541,077
	Vanguard Institutional Target Retirement 2035 Fund Institutional Shares	**	647,009
	Vanguard Institutional Target Retirement 2040 Fund Institutional Shares	**	674,764
	Vanguard Institutional Target Retirement 2045 Fund Institutional Shares	**	797,859
	Vanguard Institutional Target Retirement 2050 Fund Institutional Shares	**	825,823
	Vanguard Institutional Target Retirement 2055 Fund Institutional Shares	**	1,512,081
	Vanguard Institutional Target Retirement 2060 Fund Institutional Shares	**	398,484
	Vanguard Institutional Target Retirement 2065 Fund Institutional Shares	**	15,762
	Vanguard Long-Term Bond Index Fund Admiral Shares	**	579
	Vanguard Short-Term Bond Index Fund Admiral Shares	**	59,924
	Vanguard Target Retirement Income Fund Investor Shares	**	11,364
	Vanguard Total Bond Market Index Fund Admiral Shares	**	650,657
	Vanguard Total International Stock Index Fund Admiral Shares	**	227,685
	Total assets held at end of year		$ 9,068,539

** Cost information is not required as all investments are participant directed.

Alation, Inc. Retirement Trust
(Employer Identification Number 46-1989601)
(Plan Number 001)
Supplemental Schedule Accompanying Form 5500
Schedule H, Line 4a - Schedule of Delinquent Participant Contributions
Year Ended December 31, 2020

	Total Constituting Nonexempt Prohibited Transactions			
Contributions and Loan Repayments Transferred Late to Plan	Contributions and Loan Repayments not Corrected	Contributions and Loan Repayments Corrected Outside VFCP	Contributions and Loan Repayments Pending Correction in VFCP	Total Fully Corrected under VFCP & PTE 2002-51
$ 275,398	$ 275,398	$ -	$ -	$ -

In 2020, the Company did not remit participant contributions and loan repayments totaling $275,398, on a timely basis as required by the Department of Labor. The Department of Labor considers delinquent contributions to be nonexempt prohibited transactions with the Plan sponsor that can jeopardize the Plan's tax-exempt status. In 2021, the Company intends to contribute the lost earnings on the delinquent remittances.

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 and ending

A Name of plan

B Three-digit plan number (PN) ▶

C Plan sponsor's name as shown on line 2a of Form 5500

D Employer Identification Number (EIN)

Part I Asset and Liability Statement

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

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

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

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

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

Part III Accountant's Opinion

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

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

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

b 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) ☐ 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: **(2)** EIN:

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			

			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**			
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**			
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**			
e	Was this plan covered by a fidelity bond?	**4e**			
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**			
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**			
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**			
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**			
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**			
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**			
l	Has the plan failed to provide any benefit when due under the plan?	**4l**			
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	**4m**			
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	**4n**			

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☐ No

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

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

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

5c 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 _____.

Attachment to 2020 Form 5500
Schedule H, line 4i - Schedule of Assets (Held at End of Year)

Plan Name ALATION, INC. RETIREMENT TRUST **EIN:** 46-1989601

Plan Sponsor's Name Alation, Inc. **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.	(d) Cost	(e) Current value
	Vanguard	Vanguard Total Intl Stock Index Adm	0	227,685
	Vanguard	Vanguard Inflation-Protected Sec Adm	0	40,994
	Vanguard	Vanguard Instl Target Retirement 2025	0	364,853
	Vanguard	Vanguard Long-Term Bond Index Adm	0	579
	Vanguard	Vanguard Instl Target Retirement 2015	0	233,429
	Vanguard	Vanguard Instl Target Retirement 2040	0	674,764
	Vanguard	Vanguard Instl Target Retirement 2065	0	15,762

Attachment to 2020 Form 5500
Schedule H, line 4i - Schedule of Assets (Held at End of Year)

Plan Name ALATION, INC. RETIREMENT TRUST **EIN:** 46-1989601

Plan Sponsor's Name Alation, Inc. **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.	(d) Cost	(e) Current value
	Fidelity	Fidelity Total Market Index Fund	0	566,093
	Vanguard	Vanguard Instl Target Retirement 2035	0	647,009
	Fidelity	Fidelity Small Cap Index	0	274,113
	Vanguard	Vanguard Treasury Money Market	0	130,448
	Vanguard	Vanguard Instl Target Retirement 2050	0	825,823
	Schwab	Schwab S&P 500 Index Fund	0	524,123
	Vanguard	Vanguard Short-Term Bond Index Adm	0	59,924

Attachment to 2020 Form 5500
Schedule H, line 4i - Schedule of Assets (Held at End of Year)

Plan Name ALATION, INC. RETIREMENT TRUST **EIN:** 46-1989601

Plan Sponsor's Name Alation, Inc. **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.	(d) Cost	(e) Current value
	Fidelity	Fidelity Mid Cap Index	0	207,871
	Vanguard	Vanguard Instl Target Retirement 2045	0	797,859
	Vanguard	Vanguard Instl Target Retirement 2060	0	398,484
	Vanguard	Vanguard Instl Target Retirement 2030	0	541,077
	Vanguard	Vanguard FTSE Social Index Adm	0	38,501
	Vanguard	Vanguard Instl Target Retirement Income	0	11,364
	Vanguard	Vanguard Instl Target Retirement 2020	0	325,046

Attachment to 2020 Form 5500
Schedule H, line 4i - Schedule of Assets (Held at End of Year)

Plan Name ALATION, INC. RETIREMENT TRUST **EIN:** 46-1989601

Plan Sponsor's Name Alation, Inc. **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.	(d) Cost	(e) Current value
	Vanguard	Vanguard Total Bond Market Index Adm	0	650,657
	Vanguard	Vanguard Instl Target Retirement 2055	0	1,512,081