# 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

**2021**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**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)

**E** If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. . . . . ▶ [ ]

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

**1a** Name of plan
ZOLON TECH, INC 401 (K) PLAN

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

**1c** Effective date of plan 01/01/2008

**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)
ZOLON TECH, INC

13921 PARK CENTER RD STE 500
HERNDON, VA 20171

13921 PARK CENTER RD STE 500
HERNDON, VA 20171

**2b** Employer Identification Number (EIN) 54-1903808

**2c** Plan Sponsor's telephone number 703-636-7370

**2d** Business code (see instructions) 541519

**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. | 10/06/2022 | RAM MATTAPALLI |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | Filed with authorized/valid electronic signature. | 10/06/2022 | RAM MATTAPALLI |
| | **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** | 342 |
| **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)** | 274 |
| **a(2)** Total number of active participants at the end of the plan year | **6a(2)** | 193 |
| **b** Retired or separated participants receiving benefits | **6b** | 0 |
| **c** Other retired or separated participants entitled to future benefits | **6c** | 111 |
| **d** Subtotal. Add lines **6a(2)**, **6b**, and **6c** | **6d** | 304 |
| **e** Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. | **6e** | 0 |
| **f** Total. Add lines **6d** and **6e** | **6f** | 304 |
| **g** Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) | **6g** | 197 |
| **h** Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested | **6h** | 33 |
| **7** Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item) | **7** | |

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

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

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

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

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

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

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

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

**a Pension Schedules**

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

**b General Schedules**

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

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

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

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

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

**11c** Enter the Receipt Confirmation Code for the 2021 Form M-1 annual report. If the plan was not required to file the 2021 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

# SCHEDULE A (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

# Insurance Information

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

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

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

OMB No. 1210-0110

**2021**

**This Form is Open to Public Inspection**

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**A** Name of plan
ZOLON TECH, INC 401 (K) PLAN

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

**C** Plan sponsor's name as shown on line 2a of Form 5500
ZOLON TECH, INC

**D** Employer Identification Number (EIN)
54-1903808

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

**1** Coverage Information:

**(a)** Name of insurance carrier
JOHN HANCOCK LIFE INSURANCE COMPANY (USA)

| **(b)** EIN | **(c)** NAIC code | **(d)** Contract or identification number | **(e)** Approximate number of persons covered at end of policy or contract year | Policy or contract year | |
|---|---|---|---|---|---|
| | | | | **(f)** From | **(g)** To |
| 01-0233346 | 65838 | 85112 | 195 | 01/01/2021 | 12/31/2021 |

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

| **(a)** Total amount of commissions paid | **(b)** Total amount of fees paid |
|---|---|
| 0 | 6449 |

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

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

THE ROSE FINANCIAL GROUP, LLC
6602 E. 75TH STREET, SUITE 200
INDIANAPOLIS, IN 46250

| **(b)** Amount of sales and base commissions paid | Fees and other commissions paid | | |
|---|---|---|---|
| | **(c)** Amount | **(d)** Purpose | **(e)** Organization code |
| | 2515 | TPA FEES PAID | 5 |

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

THE ROSE FINANCIAL GROUP, LLC
6602 E. 75TH STREET, SUITE 200
INDIANAPOLIS, IN 46250

| **(b)** Amount of sales and base commissions paid | Fees and other commissions paid | | |
|---|---|---|---|
| | **(c)** Amount | **(d)** Purpose | **(e)** Organization code |
| | 3934 | TPA COMPENSATION | 5 |

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

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

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

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

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

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

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

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

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

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

## Part II Investment and Annuity Contract Information

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

| | | | |
|---|---|---|---|
| **4** | Current value of plan's interest under this contract in the general account at year end | **4** | |
| **5** | Current value of plan's interest under this contract in separate accounts at year end | **5** | 8450913 |

**6** Contracts With Allocated Funds:

**a** State the basis of premium rates ▶

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

Specify nature of costs ▶

**e** Type of contract: (1) ☐ individual policies (2) ☐ group deferred annuity

(3) ☐ other (specify) ▶

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

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

**a** Type of contract: (1) ☐ deposit administration (2) ☐ immediate participation guarantee

(3) ☐ guaranteed investment (4) ☐ other ▶

| | | | | | |
|---|---|---|---|---|---|
| **b** | Balance at the end of the previous year | | | **7b** | |
| **c** | Additions: (1) Contributions deposited during the year | **7c(1)** | | | |
| | (2) Dividends and credits | **7c(2)** | | | |
| | (3) Interest credited during the year | **7c(3)** | | | |
| | (4) Transferred from separate account | **7c(4)** | | | |
| | (5) Other (specify below) | **7c(5)** | | | |
| | ▶ | | | | |
| | (6) Total additions | | | **7c(6)** | |
| **d** | Total of balance and additions (add lines **7b** and **7c(6)**) | | | **7d** | |
| **e** | Deductions: | | | | |
| | (1) Disbursed from fund to pay benefits or purchase annuities during year | **7e(1)** | | | |
| | (2) Administration charge made by carrier | **7e(2)** | | | |
| | (3) Transferred to separate account | **7e(3)** | | | |
| | (4) Other (specify below) | **7e(4)** | | | |
| | ▶ | | | | |
| | (5) Total deductions | | | **7e(5)** | |
| **f** | Balance at the end of the current year (subtract line **7e(5)** from line **7d**) | | | **7f** | |

## Part III Welfare Benefit Contract Information

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

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

**a** ☐ Health (other than dental or vision) **b** ☐ Dental **c** ☐ Vision **d** ☐ Life insurance
**e** ☐ Temporary disability (accident and sickness) **f** ☐ Long-term disability **g** ☐ Supplemental unemployment **h** ☐ Prescription drug
**i** ☐ Stop loss (large deductible) **j** ☐ HMO contract **k** ☐ PPO contract **l** ☐ Indemnity contract
**m** ☐ Other (specify) ▶

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

Specify nature of costs.

## Part IV Provision of Information

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

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

| SCHEDULE C (Form 5500) | Service Provider Information | OMB No. 1210-0110 |
|---|---|---|
| Department of the Treasury<br>Internal Revenue Service<br>Department of Labor<br>Employee Benefits Security Administration<br>Pension Benefit Guaranty Corporation | This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).<br>▶ **File as an attachment to Form 5500.** | **2021**<br>**This Form is Open to Public Inspection.** |

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

| **A** Name of plan | **B** Three-digit plan number (PN) ▶ |
|---|---|
| ZOLON TECH, INC 401 (K) PLAN | 001 |
| **C** Plan sponsor's name as shown on line 2a of Form 5500 | **D** Employer Identification Number (EIN) |
| ZOLON TECH, INC | 54-1903808 |

## 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).. . . . . ☐ 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

JOHN HANCOCK LIFE INSURANCE COMPANY
PO BOX 600
BUFFALO, NY 14201

01-0233346

**(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)

RAYMOND JAMES FSA INC

59-2937883

| (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? |
|---|---|---|---|---|---|---|
| 26 | SERVICE PROVIDER | 15706 | Yes [ ] No [ ] | Yes [ ] No [ ] | | Yes [ ] No [X] |

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

JOHN HANCOCK LIFE INSURANCE COMPANY

01-0233346

| (b) Service Code(s) | (c) Relationship to employer, employee organization, or person known to be a party-in-interest | (d) Enter direct compensation paid by the plan. If none, enter -0-. | (e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor) | (f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures? | (g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-. | (h) Did the service provider give you a formula instead of an amount or estimated amount? |
|---|---|---|---|---|---|---|
| 15 28 59 60 62 63 67 68 | RECORDKEEPER | 1421 | Yes [ ] No [X] | Yes [ ] No [X] | | 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)**<br>(complete as many entries as needed) |
|---|---|

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

**a** Name:

**b** EIN:

**c** Position:

**d** Address:

**e** Telephone:

Explanation:

# SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

## DFE/Participating Plan Information

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

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

OMB No. 1210-0110

**2021**

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

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**A** Name of plan
ZOLON TECH, INC 401 (K) PLAN

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

**C** Plan or DFE sponsor's name as shown on line 2a of Form 5500
ZOLON TECH, INC

**D** Employer Identification Number (EIN)
54-1903808

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

**a** Name of MTIA, CCT, PSA, or 103-12 IE: JOHN HANCOCK QUALIFIED SEP ACCT

**b** Name of sponsor of entity listed in (a): JOHN HANCOCK LIFE INS COMPANY (USA)

| **c** EIN-PN | **d** Entity code | **e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) |
|---|---|---|
| 01-0233346-000 | P | 8450913 |

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Part II** **Information on Participating Plans (to be completed by DFEs)**
(Complete as many entries as needed to report all participating plans)

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

# SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

## Financial Information

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

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

OMB No. 1210-0110

**2021**

**This Form is Open to Public Inspection**

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**A** Name of plan
ZOLON TECH, INC 401 (K) PLAN

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

**C** Plan sponsor's name as shown on line 2a of Form 5500
ZOLON TECH, INC

**D** Employer Identification Number (EIN)
54-1903808

## 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) | | |
| **(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) | 181588 | 110641 |
| **(9)** Value of interest in common/collective trusts | 1c(9) | | |
| **(10)** Value of interest in pooled separate accounts | 1c(10) | 6772589 | 8450912 |
| **(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 | 6954177 | 8561553 |
| | **Liabilities** | | | |
| **g** | Benefit claims payable | 1g | | |
| **h** | Operating payables | 1h | | |
| **i** | Acquisition indebtedness | 1i | | |
| **j** | Other liabilities | 1j | | |
| **k** | Total liabilities (add all amounts in lines 1g through1j) | 1k | 0 | 0 |
| | **Net Assets** | | | |
| **l** | Net assets (subtract line 1k from line 1f) | 1l | 6954177 | 8561553 |

## 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) | 230992 | |
| | **(B)** Participants | 2a(1)(B) | 1179988 | |
| | **(C)** Others (including rollovers) | 2a(1)(C) | 491738 | |
| | **(2)** Noncash contributions | 2a(2) | | |
| | **(3)** Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)** | 2a(3) | | 1902718 |
| **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) | 7850 | |
| | **(F)** Other | 2b(1)(F) | | |
| | **(G)** Total interest. Add lines **2b(1)(A)** through **(F)** | 2b(1)(G) | | 7850 |
| | **(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) | | 0 |
| | **(3)** Rents | 2b(3) | | |
| | **(4)** Net gain (loss) on sale of assets: **(A)** Aggregate proceeds | 2b(4)(A) | | |
| | **(B)** Aggregate carrying amount (see instructions) | 2b(4)(B) | | |
| | **(C)** Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result | 2b(4)(C) | | 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) | | 1065046 |
| (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 | | 2975614 |
| **Expenses** | | | |
| e Benefit payment and payments to provide benefits: | | | |
| (1) Directly to participants or beneficiaries, including direct rollovers | 2e(1) | 1307765 | |
| (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) | | 1307765 |
| 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) | 60473 | |
| (3) Investment advisory and management fees | 2i(3) | | |
| (4) Other | 2i(4) | | |
| (5) Total administrative expenses. Add lines **2i(1)** through **(4)** | 2i(5) | | 60473 |
| j Total expenses. Add all **expense** amounts in column (b) and enter total | 2j | | 1368238 |
| **Net Income and Reconciliation** | | | |
| k Net income (loss). Subtract line **2j** from line **2d** | 2k | | 1607376 |
| 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: LONG & ASSOCIATES **(2)** EIN: 35-2009629

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

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

## Part IV Compliance Questions

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

During the plan year:

| | | Yes | No | Amount |
|---|---|---|---|---|
| **a** Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.) | 4a | | X | |

| | | | Yes | No | Amount |
|---|---|---|---|---|---|
| **b** | Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.) | **4b** | | X | |
| **c** | Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.) | **4c** | | X | |
| **d** | Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.) | **4d** | | X | |
| **e** | Was this plan covered by a fidelity bond? | **4e** | | X | |
| **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 _____.

# ZOLON TECH, INC. 401(K) PLAN

# AUDITED FINANCIAL STATEMENTS

# FOR THE YEARS ENDED

# DECEMBER 31, 2021 and 2020

**Zolon Tech, Inc. 401(k) Plan**
**Audited Financial Statements**

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LONG & ASSOCIATES, P.C.
Certified Public Accountants

INDEPENDENT AUDITORS' REPORT

To the Plan Administrator
Zolon Tech, Inc. 401(k) Plan
Herndon, Virginia

**Scope and Nature of the ERISA Section 103(a)(3)(C) Audit**

We have performed an audit of the accompanying financial statements of Zolon Tech, Inc. 401(k) Plan, an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) [ERISA Section 103(a)(3)(C) audit]. The financial statements comprise the statement of net asset available for benefits as of December 31, 2021, and the related statement of changes in net assets available or benefits for the year then ended, and the related notes to the financial statements.

Management, having determined it is permissible in the circumstances, has elected to have the audit of Zolon Tech, Inc. 401(k) Plan's financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. As permitted by ERISA Section 103(a)(3)(C), our audit need not extend to any statements or information related to assets held for investment of the plan (investment information) by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, provided that the statements or information regarding assets so held are prepared and certified to by the bank or similar institution or insurance carrier in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA (qualified institution).

Management has obtained a certification from a qualified institution as of and for the year ended December 31, 2021, stating that the certified investment information, as described in Note F to the financial statements, is complete and accurate.

**Opinion**

In our opinion, based on our audit and on the procedures performed as described in the Auditor's Responsibilities for the Audit of the Financial Statements section—

- the amounts and disclosures in the financial statements referred to above, other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.
- the information in the financial statements referred to above related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects,

the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

## Basis for Opinion

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of Zolon Tech, Inc. 401(k) Plan and to meet our other ethical responsibilities in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

## Responsibilities of Management 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, and for 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. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about Zolon Tech, Inc. 401(k) Plan's ability to continue as a going concern for one year after the date the financial statements are available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments; administering the plan; and determining that the plan's transactions that are presented and disclosed in the financial statements are in conformity with the plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

## Auditor's Responsibilities for the Audit of the Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit section of our report, our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with generally accepted auditing standards, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Company 401(k) Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Company 401(k) Plan's ability to continue as a going concern for a reasonable period of time.

Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of accounting principles generally accepted in the United States of America.

Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

**Supplemental Schedules Required by ERISA**

The supplemental schedules of assets at the end of the period under audit are presented for purposes of additional analysis and are not a required part of the financial statements but are supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedules, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with generally accepted auditing standards. For information included in the supplemental schedules that agreed to or is

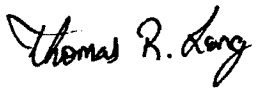
derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, other than the information agreed to or derived from the certified investment information, including their form and content, are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion—

- the form and content of the supplemental schedules, other than the information in the supplemental schedules that agreed to or is derived from the certified investment information, are presented, in all material respects, in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.
- the information in the supplemental schedules related to assets held by and certified to by a qualified institution agrees to or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

Long and Associates, P.C.



Fishers, Indiana
September 18, 2022




INDEPENDENT AUDITORS' REPORT

To the Plan Administrator
Zolon Tech, Inc. 401(k) Plan
Herndon, Virginia

We were engaged to audit the accompanying statement of net assets available for benefits of Zolon Tech, Inc. 401(k) Plan as of December 31, 2020, and the related notes to the financial statement.

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

Management is responsible for the preparation and fair presentation of this financial statement 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 a financial statement that is free from material misstatement, whether due to fraud or error.

**Auditor's Responsibility**

Our responsibility is to express an opinion on the 2020 financial statement based on conducting the audit in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, however, we were not able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion.

**Basis for Disclaimer of Opinion**

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note F, which was certified by John Hancock, the custodian of the Plan, except for comparing such information with the related information included in the financial statement. We have been informed by the plan administrator that the trustee holds the Plan's investment assets and executes investment transactions. The plan administrator has obtained a certification from the trustee as of December 31, 2020 that the information provided to the plan administrator by the trustee is complete and accurate.

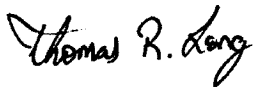
**Disclaimer of Opinion**

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient appropriate audit evidence to provide a basis for an audit opinion on the 2020 financial statement. Accordingly, we do not express an opinion on the 2020 financial statement.

**Report on Form and Content in Compliance with DOL Rules and Regulations for 2020 Financial Statement**

The form and content of the information included in the 2020 financial statement, other than that derived from the information certified by the trustee, have been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.

Long and Associates, P.C.



Fishers, Indiana
September 18, 2022

## Zolon Tech, Inc. 401(k) Plan
## Statement of Net Assets Available for Benefits
## As of December 31, 2021 and 2020

| | 2021 | 2020 |
|---|---|---|
| **Assets** | | |
| Investments, at Fair Value | $ 8,450,912 | $ 6,780,339 |
| Receivables: | | |
| Participant Contributions | - | - |
| Notes Receivable from Participants | 110,641 | 181,588 |
| Total Receivables | 110,641 | 181,588 |
| **Total Assets** | 8,561,553 | 6,961,927 |
| Payables: | | |
| Employer Contribution Correction | - | 7,750 |
| Total Payables | - | 7,750 |
| **Total Liabilities** | - | 7,750 |
| **Net Assets Available for Benefits** | 8,561,553 | 6,954,177 |
| **Total Net Assets** | $ 8,561,553 | $ 6,961,927 |



See Accompanying Notes and Accountant's Audit Report

## Zolon Tech, Inc. 401(k) Plan
## Statement of Changes in Net Assets Available for Benefits
## For the Years Ended December 31, 2021 and 2020

| | 2021 | 2020 |
|---|---|---|
| **Additions to Net Assets Attributed to:** | | |
| Investment Income: | | |
| Net Appreciation (Depreciation) in Fair Value of Investments | $ 1,065,046 | $ 955,525 |
| Interest Income on Notes Receivable From Participants | 7,850 | 8,980 |
| Contributions: | | |
| Participants | 1,179,987 | 956,269 |
| Employer Matching | 244,186 | 202,141 |
| Employee Rollovers-During Plan Year | 491,738 | 31,023 |
| Custodian Credits to Participants | - | - |
| Total Contributions: | 1,915,911 | 1,189,433 |
| **Total Additions** | 2,988,807 | 2,153,938 |
| **Deductions from Net Assets Attributed to:** | | |
| Benefits Paid to Participants | 1,320,958 | 856,923 |
| Administrative Expenses | 60,473 | 44,660 |
| **Total Deductions** | 1,381,431 | 901,583 |
| **Net Change** | 1,607,376 | 1,252,355 |
| **Net Assets Available for Benefits:** | | |
| Beginning of period | 6,954,177 | 5,701,822 |
| End of period | $ 8,561,553 | $ 6,954,177 |



See Accompanying Notes and Accountant's Audit Report

## NOTE A – DESCRIPTION OF PLAN

The following description of the Zolon Tech, Inc. 401(K) Plan (the "Plan") provides only general information. Specific inquiries regarding plan provisions should refer to the plan document language found in the plan's adoption agreement, basic plan document, and supplemental amendments.

### General

The Plan is a defined contribution plan (401(k)), effective January 1, 2008, as amended January 1, 2015, covering all eligible employees of Zolon Tech, Inc. (the "Company") Employees of the Company who are members of union and nonresident aliens are not eligible for participation. The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

In January 2020, Congress passed the Setting Every Community Up for Retirement Enhancement (SECURE) Act of 2020 that contained the largest package of retirement system reform in over a decade. Many of the provisions of the SECURE Act became effective on January 1, 2020 and require significant changes to plan administration and recordkeeping.

The COVID-19 outbreak in the United States caused business disruption through mandated and voluntary closings of businesses in numerous industries. As of March 27, 2020, Congress passed the Coronavirus Aid, Relief, and Economic Security Act ("CARES Act") that included numerous employee benefit plan provisions to assist plan sponsors and participants.

The Consolidated Appropriation Act of 2021 was signed into Law December 27, 2020 which includes a temporary rule that prevents partial plan termination for qualified retirement plan in certain circumstances.

### Contributions

Each year, eligible participants may make salary deferrals up to the maximum amount allowed by the Internal Revenue Service under IRC Section 402(g). The Company may elect to make discretionary matching or profit-sharing contributions to all eligible participants. For Plan years 2021 and 2020, the Company matched 50% of participant contributions up to $2,000. Participants who have attained age 50 by the last day of the plan year are eligible to make catch-up contributions. Participants may also make rollover contributions representing distributions from other qualified plans.

### Participant Accounts

Each participant's account is credited with (a) the participant's salary deferral contribution and related employer matching contribution, (b) an allocation of the Company's discretionary contribution, if any, and (c) plan earnings (losses), and charged with an allocation of administrative expenses. Allocations are based on participant eligible compensation or account balances, as defined under the Plan. The participant eligible for a distribution of their account balance under the Plan is entitled to no more than their vested account balance.

## NOTE A – DESCRIPTION OF PLAN (Continued)

### Vesting
Participants are immediately vested in their salary deferral contributions plus earnings thereon. Vesting in the Company's matching and profit-sharing contributions plus earnings thereon is based on a four-year graduated vesting schedule. A participant is fully vested after four years of credited service.

### Investment Options
Upon enrollment in the Plan, a participant may direct their entire account balance among any of the pre-selected investment options.

### Distribution of Benefits
The benefit to which a participant is entitled is equal to the value of the participant's vested interest in their account. Benefits may be distributed to participants upon termination of service by reason of retirement, disability, death or other separation from service. Upon reaching 59½ Years of age, participants may elect to receive in-service withdrawals. The Plan also maintains a provision for hardship withdrawals.

### Forfeited Accounts
Forfeitures of terminated participants' non-vested accounts are used to reduce employer contributions or administrative fees. Forfeitures totaled $20,943 and $33,131 for the plan year ended December 31, 2021 and 2020, respectively.

### Notes Receivable from Participants
Participants may borrow from their fund accounts a minimum of $500 up to a maximum equal to the lesser of $50,000 or 50% of their vested account balance. Notes must be repaid within five years unless it is for the purchase of a primary residence. The participant loans are secured by the vested balance in the participant's account and bear an interest rate equal to 1% over the prime interest rate. Principal and interest payments are made through payroll deductions.

## NOTE B – SUMMARY OF ACCOUNTING POLICIES

### Basis of Accounting
The financial statements of the Plan are prepared using the accrual method of accounting.

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

### Reclassifications
Certain items in the prior year financial statements have been reclassified to conform to current year presentation. These reclassifications had no effect on the Statement of Changes in Net Assets Available for Benefits or State of Net Assets of the Plan.

## NOTE B – SUMMARY OF ACCOUNTING POLICIES (Continued)

### Investment Valuation
Investments are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Plan management determines the Plan's valuation policies utilizing information provided by the investment advisers and trustee. See Fair Value of Plan Assets and Liabilities.

### Income Recognition
Purchases and sales of securities are recorded on a trade-date basis. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year.

### Administrative Expenses
Certain expenses of maintaining the Plan are paid directly by the Company and are not reflected within the financial statements. Fees related to the administration of a Plan service for a participant are assessed directly to that participant's account. Investment related expenses are included in net appreciation/(depreciation) of the fair value of investments.

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

## NOTE C – PLAN TERMINATION

Although it has not expressed any intent to do so, the Company has the right to terminate the Plan. In the event of Plan termination, participants would become 100% vested in their employer contributions.

## NOTE D – TAX STATUS

The Plan adopted a standardized form of prototype plan sponsored by The Rose Financial Group, LLC. The prototype plan has received an opinion letter from the Internal Revenue Service dated December 1, 2014, as to the prototype plan's qualified status. The prototype plan opinion letter has been relied upon by this Plan. The Plan administrator believes the Plan is designed and is being operated in compliance with the applicable provisions of the Internal Revenue Code.

Accounting principles generally accepted in the United States of America require Plan management to evaluate tax positions taken by the Plan and recognize a tax liability (or asset) if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Plan administrator has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2021 and 2020, there are no uncertain positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax period in progress. Plan tax filings are subject to examination for three years.

## NOTE E – FAIR VALUE OF PLAN ASSETS AND LIABILITIES

Financial Accounting Standards Board (FASB) *Accounting Standards Codification* (ASC) 820, *Fair Value Measurements and Disclosures*, defines fair value 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. Topic 820 also specifies a fair value hierarchy which requires a plan to maximize the use of observable inputs and minimize the use of unobservable inputs when measuring fair value. The standard describes three levels of inputs that may be used to measure fair value:

- Level 1 – Quoted prices in active markets for identical assets or liabilities
- Level 2 – Observable inputs other than Level 1 prices, such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data for substantially the full term of the assets or liabilities
- Level 3 – Unobservable inputs that are supported by little or no market activity and that are significant to the fair value of the assets or liabilities.

Assets and liabilities are classified in their entirety based on the lowest level of input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

Following is a description of the valuation methodologies used for assets measured at fair value.

*Non-Registered Accounts:* Participant Loans are valued at their outstanding balances, which approximates fair value.

*Pooled separate accounts:* Are valued at the net asset value (NAV) based on units of the pooled separate accounts. The NAV is provided by the trustee and is used a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the pooled separate account less its liabilities. This practical expedient is not used when it is determined to be probable that the pooled separate account will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily. Redemptions are permitted daily with no restrictions or notice periods. There are no unfunded commitments.

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

## NOTE E – FAIR VALUE OF PLAN ASSETS AND LIABILITIES (Continued)

The following table sets forth by level, within the fair value hierarchy, the Plan's assets at fair value as of December 31, 2021 and 2020. Pooled Separate Accounts are measured at net asset value.

| December 31, 2021 | Level 1 | Level 2 | Level 3 | Total |
|---|---|---|---|---|
| Non-Register Accounts | $ - | - | 110,641 | $ 110,641 |
| Total Assets in the Fair Value Hierarchy | - | - | 110,641 | 110,641 |
| Pooled Separate Accounts | | | | 8,450,912 |
| Total Investments Measured at Fair Value | | | | $ 8,561,553 |

| December 31, 2020 | Level 1 | Level 2 | Level 3 | Total |
|---|---|---|---|---|
| Non-Register Accounts | $ - | - | 181,588 | $ 181,588 |
| Total Assets in the Fair Value Hierarchy | - | - | 181,588 | 181,588 |
| Pooled Separate Accounts | | | | 6,780,339 |
| Total Investments Measured at Fair Value | | | | $ 6,961,927 |

## NOTE F – INFORMATION PREPARED AND CERTIFIED BY JOHN HANCOCK

The Plan Administrator has elected the method of compliance as permitted by 29 CFR 2520.103-8 of the United States Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Accordingly, as permitted under such election, the plan administrator instructed the Plan's independent auditors not to perform any auditing procedures with respect to the following information certified by John Hancock Life Insurance Company, the trustee of the Plan, except for comparing such information certified by the trustee to information included in the Plan's financial statements and supplemental schedule of assets (held at the end of year).

The trustee has supplied the plan administrator with a certification as to the completeness and accuracy of certain investment information presented in the accompanying statements of net assets available for benefits as of December 31, 2021 and 2020, and the statement of changes in net assets available for benefits for the year ended December 31, 2021 and 2020, and the supplemental schedule of assets held at end of years as of December 31, 2021 and 2020.

## NOTE G – RISKS AND UNCERTANTIES

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statement of net assets available for benefits.

## NOTE H – PARTY-IN-INTEREST

Party-in-interest transactions include those with fiduciaries or employees of the Plan, and person who provides services to the Plan, an employer whose employees are covered by the Plan, an employee organization whose employees are covered by the Plan, a person who owns 50 percent or more of such an employer or employee association, or relatives of such persons. Accordingly, loans to participants and the management of investments held by the trustee are considered party-in-interest transactions.

The Plan invests in certain funds of John Hancock Life Insurance Company who serves as the Plan Trustee.

## NOTE I – SUBSEQUENT EVENTS

Subsequent events have been evaluated through September 18, 2022, the date these financial statements were issued. As a result of the spread of the COVID-19 coronavirus pandemic, economic uncertainties have arisen which are likely to impact investment income and other plan transactions. It is not possible to reliably estimate the duration and severity of the economic uncertainties, as well as the impact on the Plan.

## SUPPLEMENTAL INFORMATION

**Zolon Tech, Inc. 401(k) Plan**
**54-1903808**
**Schedule H, Line 4i - Schedule of Assets (Held at End of Year)**
**December 31, 2021**

| (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) Fair Value |
|---|---|---|---|---|
| * | John Hancock Life Insurance Company | RL 2010 | ** | $ 110 |
| * | John Hancock Life Insurance Company | RL 2015 | ** | 149,366 |
| * | John Hancock Life Insurance Company | RL 2020 | ** | 34,057 |
| * | John Hancock Life Insurance Company | RL 2025 | ** | 594,276 |
| * | John Hancock Life Insurance Company | RL 2030 | ** | 191,894 |
| * | John Hancock Life Insurance Company | RL 2035 | ** | 422,092 |
| * | John Hancock Life Insurance Company | RL 2040 | ** | 280,453 |
| * | John Hancock Life Insurance Company | RL 2045 | ** | 674,021 |
| * | John Hancock Life Insurance Company | RL 2050 | ** | 127,681 |
| * | John Hancock Life Insurance Company | RL 2055 | ** | 13,130 |
| * | John Hancock Life Insurance Company | RL 2060 | ** | 76,930 |
| * | John Hancock Life Insurance Company | RL 2065 | ** | 10,880 |
| * | John Hancock Life Insurance Company | LS-Conserv | ** | 122,334 |
| * | John Hancock Life Insurance Company | LS-Moderat | ** | 176,090 |
| * | John Hancock Life Insurance Company | LS-Balance | ** | 727,036 |
| * | John Hancock Life Insurance Company | LS-Growth | ** | 792,680 |
| * | John Hancock Life Insurance Company | LS-Aggress | ** | 441,310 |
| * | John Hancock Life Insurance Company | STBL Value | ** | 381,642 |
| | John Hancock Life Insurance Company | TOT BMKT | ** | 10,007 |
| | John Hancock Life Insurance Company | Spectrum I | ** | 6,391 |
| | John Hancock Life Insurance Company | VS STR Inc | ** | 5,060 |
| | John Hancock Life Insurance Company | Real Return | ** | 4,195 |
| | John Hancock Life Insurance Company | VS High Yield | ** | 1,243 |
| | John Hancock Life Insurance Company | Fidelity Total | ** | 15,129 |
| | John Hancock Life Insurance Company | Global Bond | ** | 413 |
| | John Hancock Life Insurance Company | VS Utility | ** | 802 |
| | John Hancock Life Insurance Company | Brglball | ** | 10,746 |
| | John Hancock Life Insurance Company | AF AM Bal | ** | 10,746 |
| | John Hancock Life Insurance Company | Value Index | ** | 167,688 |
| | John Hancock Life Insurance Company | Index Total | ** | 21,059 |
| | John Hancock Life Insurance Company | World | ** | 511 |
| | John Hancock Life Insurance Company | Trip Equity Inc | ** | 87,934 |
| | John Hancock Life Insurance Company | JPM Use | ** | 9,198 |
| | John Hancock Life Insurance Company | Discipval | ** | 32,316 |
| | John Hancock Life Insurance Company | Global | ** | 17,611 |
| | John Hancock Life Insurance Company | Fund LCV | ** | 6,431 |
| | John Hancock Life Insurance Company | Beacon | ** | 6,977 |
| | John Hancock Life Insurance Company | Domini Soc | ** | 31,741 |
| | John Hancock Life Insurance Company | Idex 500 | ** | 1,058,483 |
| | John Hancock Life Insurance Company | Small Cap VA In | ** | 12,005 |
| | John Hancock Life Insurance Company | Small Cap Growth Indes | ** | 32,079 |
| | John Hancock Life Insurance Company | Mc Vl Etf | ** | 66,489 |
| | John Hancock Life Insurance Company | Mc Gw Etf | ** | 22,551 |
| | John Hancock Life Insurance Company | Growth Index | ** | 72,937 |
| | John Hancock Life Insurance Company | Energy | ** | 247,044 |
| | John Hancock Life Insurance Company | Growth | ** | 25,326 |
| | John Hancock Life Insurance Company | Sci Tech | ** | 49,037 |
| | John Hancock Life Insurance Company | Health Science | ** | 42,935 |
| | John Hancock Life Insurance Company | VS SM GRTH | ** | 40,108 |
| | John Hancock Life Insurance Company | Index Small | ** | 222,926 |
| | John Hancock Life Insurance Company | Vs Sctec | ** | 74,512 |
| | John Hancock Life Insurance Company | Opportunity | ** | 2,060 |
| | John Hancock Life Insurance Company | VS Rests | ** | 3,952 |
| | John Hancock Life Insurance Company | NEW OPPS | ** | 589 |
| | John Hancock Life Insurance Company | VS Midval | ** | 30,295 |
| | John Hancock Life Insurance Company | Index Mid | ** | 12,384 |
| | John Hancock Life Insurance Company | JH Mcgf | ** | 65,004 |
| | John Hancock Life Insurance Company | Intl Growth | ** | 19,351 |
| | John Hancock Life Insurance Company | Small Growth | ** | 17,674 |
| | John Hancock Life Insurance Company | Intl Grw | ** | 12,265 |
| | John Hancock Life Insurance Company | Idx Intl | ** | 40,212 |
| | John Hancock Life Insurance Company | Fun Allcp | ** | 19,390 |
| | John Hancock Life Insurance Company | Sm-Md Grth | ** | 34,201 |
| | John Hancock Life Insurance Company | Vs Financial | ** | 896 |
| | John Hancock Life Insurance Company | Europac | ** | 11,736 |
| | John Hancock Life Insurance Company | US Small Cap | ** | 95,888 |
| | John Hancock Life Insurance Company | Dfa Tava | ** | 98,689 |
| | John Hancock Life Insurance Company | Intl Val | ** | 24,015 |
| | John Hancock Life Insurance Company | Emerging Markets | ** | 19,157 |
| | John Hancock Life Insurance Company | LMC AGG GR | ** | 15,945 |
| | John Hancock Life Insurance Company | VS CAP APP | ** | 164,793 |
| | John Hancock Life Insurance Company | VS Blue Chip | ** | 103,979 |
| | John Hancock Life Insurance Company | Heritage | ** | 29,825 |
| | | | | 8,450,912 |
| * | Participant Loans | Various Maturities & Interest Rates | ** | 110,641 |
| | | Total Investments | | **$ 8,561,553** |

This schedule was derived from data certified by John Hancock Life Insurance Company.

* Represents a party-in-interest.
** Cost omitted for participant directed investments.

**Zolon Tech, Inc. 401(k) Plan**
**54-1903808**
**Schedule H, Line 4i - Schedule of Assets (Held at End of Year)**
**December 31, 2020**

| (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) Fair Value |
|---|---|---|---|---|
| * | John Hancock Life Insurance Company | RL 2010 | ** | $ 103 |
| * | John Hancock Life Insurance Company | RL 2015 | ** | 6,461 |
| * | John Hancock Life Insurance Company | RL 2020 | ** | 37,525 |
| * | John Hancock Life Insurance Company | RL 2025 | ** | 476,204 |
| * | John Hancock Life Insurance Company | RL 2030 | ** | 157,243 |
| * | John Hancock Life Insurance Company | RL 2035 | ** | 340,258 |
| * | John Hancock Life Insurance Company | RL 2040 | ** | 205,311 |
| * | John Hancock Life Insurance Company | RL 2045 | ** | 417,450 |
| * | John Hancock Life Insurance Company | RL 2050 | ** | 120,539 |
| * | John Hancock Life Insurance Company | RL 2055 | ** | 159,535 |
| * | John Hancock Life Insurance Company | RL 2060 | ** | 35,894 |
| * | John Hancock Life Insurance Company | LS-Conserv | ** | 178,009 |
| * | John Hancock Life Insurance Company | LS-Moderat | ** | 318,496 |
| * | John Hancock Life Insurance Company | LS-Balance | ** | 715,562 |
| * | John Hancock Life Insurance Company | LS-Growth | ** | 811,545 |
| * | John Hancock Life Insurance Company | LS-Aggress | ** | 291,149 |
| * | John Hancock Life Insurance Company | STBL Value | ** | 223,369 |
| | John Hancock Life Insurance Company | TOT BMKT | ** | 11,822 |
| | John Hancock Life Insurance Company | Spectrum I | ** | 6,051 |
| | John Hancock Life Insurance Company | VS STR Inc | ** | 5,105 |
| | John Hancock Life Insurance Company | Real Return | ** | 3,998 |
| | John Hancock Life Insurance Company | VS High Yield | ** | 204 |
| | John Hancock Life Insurance Company | Fidelity Total | ** | 15,351 |
| | John Hancock Life Insurance Company | Global Bond | ** | 1,230 |
| | John Hancock Life Insurance Company | VS Utility | ** | 706 |
| | John Hancock Life Insurance Company | Brglball | ** | 6,643 |
| | John Hancock Life Insurance Company | AF AM Bal | ** | 5,836 |
| | John Hancock Life Insurance Company | AF Washington Mutual | ** | 400 |
| | John Hancock Life Insurance Company | Value Index | ** | 116,018 |
| | John Hancock Life Insurance Company | Index Total | ** | 6,339 |
| | John Hancock Life Insurance Company | World | ** | 474 |
| | John Hancock Life Insurance Company | Trip Equity Inc | ** | 45,244 |
| | John Hancock Life Insurance Company | JPM Use | ** | 5,925 |
| | John Hancock Life Insurance Company | Discipval | ** | 1,509 |
| | John Hancock Life Insurance Company | Global | ** | 5,802 |
| | John Hancock Life Insurance Company | Fund LCV | ** | 4,014 |
| | John Hancock Life Insurance Company | Discovery | ** | 400 |
| | John Hancock Life Insurance Company | Domini Soc | ** | 24,029 |
| | John Hancock Life Insurance Company | Idex 500 | ** | 420,234 |
| | John Hancock Life Insurance Company | Small Cap VA In | ** | 7,790 |
| | John Hancock Life Insurance Company | Small Cap Growth Indes | ** | 27,468 |
| | John Hancock Life Insurance Company | Mc VI Etf | ** | 42,642 |
| | John Hancock Life Insurance Company | Mc Gw Etf | ** | 15,344 |
| | John Hancock Life Insurance Company | Growth Index | ** | 46,724 |
| | John Hancock Life Insurance Company | Energy | ** | 21,441 |
| | John Hancock Life Insurance Company | Growth | ** | 20,528 |
| | John Hancock Life Insurance Company | Sci Tech | ** | 119,096 |
| | John Hancock Life Insurance Company | Health Science | ** | 108,014 |
| | John Hancock Life Insurance Company | VS SM GRTH | ** | 13,467 |
| | John Hancock Life Insurance Company | Index Small | ** | 10,816 |
| | John Hancock Life Insurance Company | Vs Sctec | ** | 58,361 |
| | John Hancock Life Insurance Company | Opportunity | ** | 707 |
| | John Hancock Life Insurance Company | VS Rests | ** | 3,324 |
| | John Hancock Life Insurance Company | NEW OPPS | ** | 78 |
| | John Hancock Life Insurance Company | VS Mc St | ** | 42,392 |
| | John Hancock Life Insurance Company | Index Mid | ** | 8,895 |
| | John Hancock Life Insurance Company | Intl Growth | ** | 4,349 |
| | John Hancock Life Insurance Company | Small Growth | ** | 15,632 |
| | John Hancock Life Insurance Company | Intl Grw | ** | 400 |
| | John Hancock Life Insurance Company | Idx Intl | ** | 30,049 |
| | John Hancock Life Insurance Company | Fun Allcp | ** | 14,998 |
| | John Hancock Life Insurance Company | Sm-Md Grth | ** | 27,057 |
| | John Hancock Life Insurance Company | Vs Financial | ** | 693 |
| | John Hancock Life Insurance Company | Europac | ** | 1,203 |
| | John Hancock Life Insurance Company | US Small Cap | ** | 49,046 |
| | John Hancock Life Insurance Company | Dfa Tava | ** | 46,451 |
| | John Hancock Life Insurance Company | Emerging Markets | ** | 5,729 |
| | John Hancock Life Insurance Company | LMC AGG GR | ** | 608 |
| | John Hancock Life Insurance Company | VS CAP APP | ** | 772,391 |
| | John Hancock Life Insurance Company | VS Blue Chip | ** | 54,840 |
| | John Hancock Life Insurance Company | Heritage | ** | 27,819 |
| | | | | 6,780,339 |
| * | Participant Loans | Various Maturities & Interest Rates | ** | 181,588 |
| | | Total Investments | | **$ 6,961,927** |

This schedule was derived from data certified by John Hancock Life Insurance Company.

* Represents a party-in-interest.
** Cost omitted for participant directed investments.

# 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

**2021**

**This Form is Open to Public Inspection**

## Part I Annual Report Identification Information

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

**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)

**E** If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. . . . . ▶ [ ]

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

**1a** Name of plan
ZOLON TECH, INC 401 (K) PLAN

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

**1c** Effective date of plan 01/01/2008

**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)
ZOLON TECH, INC

13921 PARK CENTER RD STE 500
HERNDON, VA 20171

13921 PARK CENTER RD STE 500
HERNDON, VA 20171

**2b** Employer Identification Number (EIN)
54-1903808

**2c** Plan Sponsor's telephone number
703-636-7370

**2d** Business code (see instructions)
541519

**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** | | | |
| | **Signature of plan administrator** | Date | Enter name of individual signing as plan administrator |
| **SIGN HERE** | Rattapalli | 10/6/22 | Ram Mattapalli |
| | **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 |

Print Form

Form **5558**
(Rev. August 2012)

Department of the Treasury
Internal Revenue Service

# Application for Extension of Time To File Certain Employee Plan Returns

▶ For Privacy Act and Paperwork Reduction Act Notice, see instructions.
▶ Information about Form 5558 and its instructions is at *www.irs.gov/form5558*

OMB No. 1545-0212

**File With IRS Only**

## Part I Identification

**A** Name of filer, plan administrator, or plan sponsor (see instructions)

Zolon Tech, Inc.

Number, street, and room or suite no. (If a P.O. box, see instructions)

13921 Park Center Rd., Ste. 500

City or town, state, and ZIP code

Herndon, VA 20171

**B** **Filer's identifying number (see instructions)**

Employer identification number (EIN) (9 digits XX-XXXXXXX)

54-1903808

Social security number (SSN) (9 digits XXX-XX-XXXX)

| C Plan name | Plan number | Plan year ending — MM | DD | YYYY |
|---|---|---|---|---|
| Zolon Tech, Inc. 401(k) Plan | 0 0 1 | 12 | 31 | 2021 |

## Part II Extension of Time To File Form 5500 Series, and/or Form 8955-SSA

**1** ☑ Check this box if you are requesting an extension of time on line 2 to file the first Form 5500 series return/report for the plan listed in Part 1, C above.

**2** I request an extension of time until 10/15/2022 to file Form 5500 series (see instructions).
**Note.** A signature IS NOT required if you are requesting an extension to file Form 5500 series.

**3** I request an extension of time until 10/15/2022 to file Form 8955-SSA (see instructions).
**Note.** A signature IS NOT required if you are requesting an extension to file Form 8955-SSA.

The application **is automatically approved** to the date shown on line 2 and/or line 3 (above) if: **(a)** the Form 5558 is filed on or before the normal due date of Form 5500 series, and/or Form 8955-SSA for which this extension is requested, and **(b)** the date on line 2 and/or line 3 (above) is not later than the 15th day of the third month after the normal due date.

## Part III Extension of Time To File Form 5330 *(see instructions)*

**4** I request an extension of time until ____/____/____ to file Form 5330.
You may be approved for up to a 6 month extension to file Form 5330, after the normal due date of Form 5330.

**a** Enter the Code section(s) imposing the tax . . . . . ▶ **a**

**b** Enter the payment amount attached . . . . . ▶ **b**

**c** For excise taxes under section 4980 or 4980F of the Code, enter the reversion/amendment date . . . ▶ **c**

**5** **State in detail why you need the extension:**

Under penalties of perjury, I declare that to the best of my knowledge and belief, the statements made on this form are true, correct, and complete, and that I am authorized to prepare this application.

**Signature ▶** **Date ▶**

**Zolon Tech, Inc. 401(k) Plan**
**54-1903808**
**Schedule H, Line 4I - Schedule of Assets (Held at End of Year)**
**December 31, 2021**

| (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) Fair Value |
|---|---|---|---|---|
| * | John Hancock Life Insurance Company | RL 2010 | ** | $ 110 |
| * | John Hancock Life Insurance Company | RL 2015 | ** | 149,366 |
| * | John Hancock Life Insurance Company | RL 2020 | ** | 34,057 |
| * | John Hancock Life Insurance Company | RL 2025 | ** | 594,276 |
| * | John Hancock Life Insurance Company | RL 2030 | ** | 191,894 |
| * | John Hancock Life Insurance Company | RL 2035 | ** | 422,092 |
| * | John Hancock Life Insurance Company | RL 2040 | ** | 280,453 |
| * | John Hancock Life Insurance Company | RL 2045 | ** | 674,021 |
| * | John Hancock Life Insurance Company | RL 2050 | ** | 127,681 |
| * | John Hancock Life Insurance Company | RL 2055 | ** | 13,130 |
| * | John Hancock Life Insurance Company | RL 2060 | ** | 76,930 |
| * | John Hancock Life Insurance Company | RL 2065 | ** | 10,880 |
| * | John Hancock Life Insurance Company | LS-Conserv | ** | 122,334 |
| * | John Hancock Life Insurance Company | LS-Moderat | ** | 176,090 |
| * | John Hancock Life Insurance Company | LS-Balance | ** | 727,036 |
| * | John Hancock Life Insurance Company | LS-Growth | ** | 792,680 |
| * | John Hancock Life Insurance Company | LS-Aggress | ** | 441,310 |
| * | John Hancock Life Insurance Company | STBL Value | ** | 381,642 |
| | John Hancock Life Insurance Company | TOT BMKT | ** | 10,007 |
| | John Hancock Life Insurance Company | Spectrum I | ** | 6,391 |
| | John Hancock Life Insurance Company | VS STR Inc | ** | 5,060 |
| | John Hancock Life Insurance Company | Real Return | ** | 4,195 |
| | John Hancock Life Insurance Company | VS High Yield | ** | 1,243 |
| | John Hancock Life Insurance Company | Fidelity Total | ** | 15,129 |
| | John Hancock Life Insurance Company | Global Bond | ** | 413 |
| | John Hancock Life Insurance Company | VS Utility | ** | 802 |
| | John Hancock Life Insurance Company | Brglball | ** | 10,746 |
| | John Hancock Life Insurance Company | AF AM Bal | ** | 10,746 |
| | John Hancock Life Insurance Company | Value Index | ** | 167,688 |
| | John Hancock Life Insurance Company | Index Total | ** | 21,059 |
| | John Hancock Life Insurance Company | World | ** | 511 |
| | John Hancock Life Insurance Company | Trip Equity Inc | ** | 87,934 |
| | John Hancock Life Insurance Company | JPM Use | ** | 9,198 |
| | John Hancock Life Insurance Company | Discipval | ** | 32,316 |
| | John Hancock Life Insurance Company | Global | ** | 17,611 |
| | John Hancock Life Insurance Company | Fund LCV | ** | 6,431 |
| | John Hancock Life Insurance Company | Beacon | ** | 6,977 |
| | John Hancock Life Insurance Company | Domini Soc | ** | 31,741 |
| | John Hancock Life Insurance Company | Idex 500 | ** | 1,058,483 |
| | John Hancock Life Insurance Company | Small Cap VA In | ** | 12,005 |
| | John Hancock Life Insurance Company | Small Cap Growth Indes | ** | 32,079 |
| | John Hancock Life Insurance Company | Mc Vl Etf | ** | 66,489 |
| | John Hancock Life Insurance Company | Mc Gw Etf | ** | 22,551 |
| | John Hancock Life Insurance Company | Growth Index | ** | 72,937 |
| | John Hancock Life Insurance Company | Energy | ** | 247,044 |
| | John Hancock Life Insurance Company | Growth | ** | 25,326 |
| | John Hancock Life Insurance Company | Sci Tech | ** | 49,037 |
| | John Hancock Life Insurance Company | Health Science | ** | 42,935 |
| | John Hancock Life Insurance Company | VS SM GRTH | ** | 40,108 |
| | John Hancock Life Insurance Company | Index Small | ** | 222,926 |
| | John Hancock Life Insurance Company | Vs Sctec | ** | 74,512 |
| | John Hancock Life Insurance Company | Opportunity | ** | 2,060 |
| | John Hancock Life Insurance Company | VS Rests | ** | 3,952 |
| | John Hancock Life Insurance Company | NEW OPPS | ** | 589 |
| | John Hancock Life Insurance Company | VS Midval | ** | 30,295 |
| | John Hancock Life Insurance Company | Index Mid | ** | 12,384 |
| | John Hancock Life Insurance Company | JH Mcgf | ** | 65,004 |
| | John Hancock Life Insurance Company | Intl Growth | ** | 19,351 |
| | John Hancock Life Insurance Company | Small Growth | ** | 17,674 |
| | John Hancock Life Insurance Company | Intl Grw | ** | 12,265 |
| | John Hancock Life Insurance Company | Idx Intl | ** | 40,212 |
| | John Hancock Life Insurance Company | Fun Allcp | ** | 19,390 |
| | John Hancock Life Insurance Company | Sm-Md Grth | ** | 34,201 |
| | John Hancock Life Insurance Company | Vs Financial | ** | 896 |
| | John Hancock Life Insurance Company | Europac | ** | 11,736 |
| | John Hancock Life Insurance Company | US Small Cap | ** | 95,888 |
| | John Hancock Life Insurance Company | Dfa Tava | ** | 98,689 |
| | John Hancock Life Insurance Company | Intl Val | ** | 24,015 |
| | John Hancock Life Insurance Company | Emerging Markets | ** | 19,157 |
| | John Hancock Life Insurance Company | LMC AGG GR | ** | 15,945 |
| | John Hancock Life Insurance Company | VS CAP APP | ** | 164,793 |
| | John Hancock Life Insurance Company | VS Blue Chip | ** | 103,979 |
| | John Hancock Life Insurance Company | Heritage | ** | 29,825 |
| | | | | 8,450,912 |
| * | Participant Loans | Various Maturities & Interest Rates | ** | 110,641 |
| | | Total Investments | | **$ 8,561,553** |

This schedule was derived from data certified by John Hancock Life Insurance Company.

* Represents a party-in-interest.
** Cost omitted for participant directed investments.

**Zolon Tech, Inc. 401(k) Plan**
**54-1903808**
**Schedule H, Line 4I - Schedule of Assets (Held at End of Year)**
**December 31, 2020**

| (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) Fair Value |
|---|---|---|---|---|
| * | John Hancock Life Insurance Company | RL 2010 | ** | $ 103 |
| * | John Hancock Life Insurance Company | RL 2015 | ** | 6,461 |
| * | John Hancock Life Insurance Company | RL 2020 | ** | 37,525 |
| * | John Hancock Life Insurance Company | RL 2025 | ** | 476,204 |
| * | John Hancock Life Insurance Company | RL 2030 | ** | 157,243 |
| * | John Hancock Life Insurance Company | RL 2035 | ** | 340,258 |
| * | John Hancock Life Insurance Company | RL 2040 | ** | 205,311 |
| * | John Hancock Life Insurance Company | RL 2045 | ** | 417,450 |
| * | John Hancock Life Insurance Company | RL 2050 | ** | 120,539 |
| * | John Hancock Life Insurance Company | RL 2055 | ** | 159,535 |
| * | John Hancock Life Insurance Company | RL 2060 | ** | 35,894 |
| * | John Hancock Life Insurance Company | LS-Conserv | ** | 178,009 |
| * | John Hancock Life Insurance Company | LS-Moderat | ** | 318,496 |
| * | John Hancock Life Insurance Company | LS-Balance | ** | 715,562 |
| * | John Hancock Life Insurance Company | LS-Growth | ** | 811,545 |
| * | John Hancock Life Insurance Company | LS-Aggress | ** | 291,149 |
| * | John Hancock Life Insurance Company | STBL Value | ** | 223,369 |
| | John Hancock Life Insurance Company | TOT BMKT | ** | 11,822 |
| | John Hancock Life Insurance Company | Spectrum I | ** | 6,051 |
| | John Hancock Life Insurance Company | VS STR Inc | ** | 5,105 |
| | John Hancock Life Insurance Company | Real Return | ** | 3,998 |
| | John Hancock Life Insurance Company | VS High Yield | ** | 204 |
| | John Hancock Life Insurance Company | Fidelity Total | ** | 15,351 |
| | John Hancock Life Insurance Company | Global Bond | ** | 1,230 |
| | John Hancock Life Insurance Company | VS Utility | ** | 706 |
| | John Hancock Life Insurance Company | Brglball | ** | 6,643 |
| | John Hancock Life Insurance Company | AF AM Bal | ** | 5,836 |
| | John Hancock Life Insurance Company | AF Washington Mutual | ** | 400 |
| | John Hancock Life Insurance Company | Value Index | ** | 116,018 |
| | John Hancock Life Insurance Company | Index Total | ** | 6,339 |
| | John Hancock Life Insurance Company | World | ** | 474 |
| | John Hancock Life Insurance Company | Trip Equity Inc | ** | 45,244 |
| | John Hancock Life Insurance Company | JPM Use | ** | 5,925 |
| | John Hancock Life Insurance Company | Discipval | ** | 1,509 |
| | John Hancock Life Insurance Company | Global | ** | 5,802 |
| | John Hancock Life Insurance Company | Fund LCV | ** | 4,014 |
| | John Hancock Life Insurance Company | Discovery | ** | 400 |
| | John Hancock Life Insurance Company | Domini Soc | ** | 24,029 |
| | John Hancock Life Insurance Company | Idex 500 | ** | 420,234 |
| | John Hancock Life Insurance Company | Small Cap VA In | ** | 7,790 |
| | John Hancock Life Insurance Company | Small Cap Growth Indes | ** | 27,468 |
| | John Hancock Life Insurance Company | Mc Vl Etf | ** | 42,642 |
| | John Hancock Life Insurance Company | Mc Gw Etf | ** | 15,344 |
| | John Hancock Life Insurance Company | Growth Index | ** | 46,724 |
| | John Hancock Life Insurance Company | Energy | ** | 21,441 |
| | John Hancock Life Insurance Company | Growth | ** | 20,528 |
| | John Hancock Life Insurance Company | Sci Tech | ** | 119,096 |
| | John Hancock Life Insurance Company | Health Science | ** | 108,014 |
| | John Hancock Life Insurance Company | VS SM GRTH | ** | 13,467 |
| | John Hancock Life Insurance Company | Index Small | ** | 10,816 |
| | John Hancock Life Insurance Company | Vs Sctec | ** | 58,361 |
| | John Hancock Life Insurance Company | Opportunity | ** | 707 |
| | John Hancock Life Insurance Company | VS Rests | ** | 3,324 |
| | John Hancock Life Insurance Company | NEW OPPS | ** | 78 |
| | John Hancock Life Insurance Company | VS Mc St | ** | 42,392 |
| | John Hancock Life Insurance Company | Index Mid | ** | 8,895 |
| | John Hancock Life Insurance Company | Intl Growth | ** | 4,349 |
| | John Hancock Life Insurance Company | Small Growth | ** | 15,632 |
| | John Hancock Life Insurance Company | Intl Grw | ** | 400 |
| | John Hancock Life Insurance Company | Idx Intl | ** | 30,049 |
| | John Hancock Life Insurance Company | Fun Allcp | ** | 14,998 |
| | John Hancock Life Insurance Company | Sm-Md Grth | ** | 27,057 |
| | John Hancock Life Insurance Company | Vs Financial | ** | 693 |
| | John Hancock Life Insurance Company | Europac | ** | 1,203 |
| | John Hancock Life Insurance Company | US Small Cap | ** | 49,046 |
| | John Hancock Life Insurance Company | Dfa Tava | ** | 46,451 |
| | John Hancock Life Insurance Company | Emerging Markets | ** | 5,729 |
| | John Hancock Life Insurance Company | LMC AGG GR | ** | 608 |
| | John Hancock Life Insurance Company | VS CAP APP | ** | 772,391 |
| | John Hancock Life Insurance Company | VS Blue Chip | ** | 54,840 |
| | John Hancock Life Insurance Company | Heritage | ** | 27,819 |
| | | | | 6,780,339 |
| * | Participant Loans | Various Maturities & Interest Rates | ** | 181,588 |
| | | Total Investments | | **$ 6,961,927** |

This schedule was derived from data certified by John Hancock Life Insurance Company.

* Represents a party-in-interest.
** Cost omitted for participant directed investments.