

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
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Part I	Annual Report Identification Information
For calendar plan year 2021 or fiscal plan year beginning <u>01/01/2021</u> and ending <u>12/31/2021</u>	

A This return/report is for: ☐ a multiemployer plan ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)

☒ a single-employer plan ☐ a DFE (specify) _____

B This return/report is: ☐ the first return/report ☐ the final return/report

☐ an amended return/report ☐ a short plan year return/report (less than 12 months)

C If the plan is a collectively-bargained plan, check here. ▶ ☐

D Check box if filing under: ☒ Form 5558 ☐ automatic extension ☐ the DFVC program

☐ special extension (enter description) _____

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 <u>HAWK CONSULTANTS, LLC 401(K) SAVINGS PLAN</u>	1b Three-digit plan number (PN) ▶ <u>001</u>	
2a Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) <u>HAWK CONSULTANTS, LLC</u> <u>16826 N ELDRIDGE PARKWAY</u> <u>TOMBALL, TX 77377</u>	1c Effective date of plan <u>12/01/1992</u>	2b Employer Identification Number (EIN) <u>73-1725551</u>
	2c Plan Sponsor's telephone number <u>832-843-7608</u>	2d Business code (see instructions) <u>541990</u>

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

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including 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.	10/17/2022	PAT MCQUILLAN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	10/17/2022	PAT MCQUILLAN
	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

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

3a Plan administrator's name and address ☒ 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	194
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)	127
a(2) Total number of active participants at the end of the plan year		6a(2)	122
b Retired or separated participants receiving benefits.....		6b	2
c Other retired or separated participants entitled to future benefits		6c	41
d Subtotal. Add lines 6a(2) , 6b , and 6c		6d	165
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.		6e	0
f Total. Add lines 6d and 6e		6f	165
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)		6g	104
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested		6h	0
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....		7	
8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions: 2E 2F 2G 2J 2K 2T 3D 3H			
b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:			
9a Plan funding arrangement (check all that apply) (1) ☒ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor		9b Plan benefit arrangement (check all that apply) (1) ☒ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ 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) ☒ H (Financial Information) (2) ☐ I (Financial Information – Small Plan) (3) ☒ <u>2</u> A (Insurance Information) (4) ☒ C (Service Provider Information) (5) ☒ D (DFE/Participating Plan Information) (6) ☐ G (Financial Transaction Schedules)	

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

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

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

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

11c Enter the Receipt Confirmation Code for the 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
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021	
A Name of plan HAWK CONSULTANTS, LLC 401(K) SAVINGS PLAN	B Three-digit plan number (PN) ▶ 001
C Plan sponsor's name as shown on line 2a of Form 5500 HAWK CONSULTANTS, LLC	D Employer Identification Number (EIN) 73-1725551

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.
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1 Coverage Information:

(a) Name of insurance carrier
VOYA RETIREMENT INSURANCE AND ANNUITY COMPANY

(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
71-0294708	86509	DH1685	165	06/14/2021	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	0

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

(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	

(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	401333
5	Current value of plan's interest under this contract in separate accounts at year end.....	5	0

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. Specify nature of costs ▶	6d	

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 ▶ **GROUP PENSION FUNDING**

b	Balance at the end of the previous year	7b	0
c	Additions: (1) Contributions deposited during the year	7c(1)	13531
	(2) Dividends and credits.....	7c(2)	
	(3) Interest credited during the year.....	7c(3)	2006
	(4) Transferred from separate account.....	7c(4)	
	(5) Other (specify below)..... ▶ LOAN REPAYMENTS TRANSFERS FROM MUTUAL FUNDS TRANSFERRED ASSETS	7c(5)	393303
	(6) Total additions	7c(6)	408840
d	Total of balance and additions (add lines 7b and 7c(6))	7d	408840
e	Deductions:		
	(1) Disbursed from fund to pay benefits or purchase annuities during year	7e(1)	2730
	(2) Administration charge made by carrier.....	7e(2)	698
	(3) Transferred to separate account.....	7e(3)	
	(4) Other (specify below)..... ▶	7e(4)	
	(5) Total deductions	7e(5)	3428
f	Balance at the end of the current year (subtract line 7e(5) from line 7d).....	7f	405412

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. Specify nature of costs.	10b	

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 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
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021	
A Name of plan HAWK CONSULTANTS, LLC 401(K) SAVINGS PLAN	B Three-digit plan number (PN) ▶ 001
C Plan sponsor's name as shown on line 2a of Form 5500 HAWK CONSULTANTS, LLC	D Employer Identification Number (EIN) 73-1725551

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.
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1 Coverage Information:

(a) Name of insurance carrier PRINCIPAL LIFE INSURANCE COMPANY

(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
42-0127290	61271	407379	0	01/01/2021	06/14/2021

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 0	(b) Total amount of fees paid 0
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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
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(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	

(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	0
5	Current value of plan's interest under this contract in separate accounts at year end.....	5	0

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. Specify nature of costs ▶	6d	

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 ▶ FLEXIBLE INVESTMENT ANNUITY

b	Balance at the end of the previous year	7b	120498
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c	Additions: (1) Contributions deposited during the year	7c(1)	3736	
	(2) Dividends and credits.....	7c(2)		
	(3) Interest credited during the year.....	7c(3)	370	
	(4) Transferred from separate account.....	7c(4)		
	(5) Other (specify below)	7c(5)	511	

▶ LOAN REPAYMENTS

(6) Total additions	7c(6)	4617
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d	Total of balance and additions (add lines 7b and 7c(6))	7d	125115
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e Deductions:

	(1) Disbursed from fund to pay benefits or purchase annuities during year	7e(1)		
	(2) Administration charge made by carrier.....	7e(2)	1356	
	(3) Transferred to separate account.....	7e(3)		
	(4) Other (specify below)	7e(4)	123759	

▶ NEW LOANS ISSUED CONTRACT LIQUIDATION

(5) Total deductions	7e(5)	125115
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f	Balance at the end of the current year (subtract line 7e(5) from line 7d)	7f	0
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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. Specify nature of costs.	10b	

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) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider 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 HAWK CONSULTANTS, LLC 401(K) SAVINGS PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 HAWK CONSULTANTS, LLC	D Employer Identification Number (EIN) 73-1725551	

Part I	Service Provider Information (see instructions)
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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
VOYA RETIREMENT INSURANCE & ANNUITY
71-0294708

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

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

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

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

VOYA RETIREMENT INSURANCE & ANNUITY

71-0294708

(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 64	SERVICE PROVIDER	10858	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

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

EQUITABLE ADVISORS LLC

13-4071393

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
99	SERVICE PROVIDER	99	Yes ☒ No ☐	Yes ☐ No ☒	10940	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 ☐

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
EQUITABLE ADVISORS LLC	99	10940

(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.
VOYA RETIREMENT INSURANCE & ANNUITY 71-0294708	OTHER FEES

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.

Part II Service Providers Who Fail or Refuse to Provide Information

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

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

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

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

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

A Name of plan <u>HAWK CONSULTANTS, LLC 401(K) SAVINGS PLAN</u>	B Three-digit plan number (PN) <u>001</u>	
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 <u>HAWK CONSULTANTS, LLC</u>	D Employer Identification Number (EIN) <u>73-1725551</u>	

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)
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a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRIN MIDCAP VALUE I SA-R6</u>				
b Name of sponsor of entity listed in (a): <u>PRINCIPAL LIFE INSURANCE COMPANY</u>				
c EIN-PN <u>42-0127290-043</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>0</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRINCIPAL SMALLCAP SEP ACCT-6</u>				
b Name of sponsor of entity listed in (a): <u>PRINCIPAL LIFE INSURANCE COMPANY</u>				
c EIN-PN <u>42-0127290-029</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>0</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRIN MIDCAP SEP ACCT-R6</u>				
b Name of sponsor of entity listed in (a): <u>PRINCIPAL LIFE INSURANCE COMPANY</u>				
c EIN-PN <u>42-0127290-020</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>0</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRIN GOVT & HQ BOND SA-R6</u>				
b Name of sponsor of entity listed in (a): <u>PRINCIPAL LIFE INSURANCE COMPANY</u>				
c EIN-PN <u>42-0127290-007</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>0</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRIN LIQUID ASSETS SEP ACCT-R6</u>				
b Name of sponsor of entity listed in (a): <u>PRINCIPAL LIFE INSURANCE COMPANY</u>				
c EIN-PN <u>42-0127290-024</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>0</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRIN INTL EMERG MARKETS SA-R6</u>				
b Name of sponsor of entity listed in (a): <u>PRINCIPAL LIFE INSURANCE</u>				
c EIN-PN <u>42-0127290-013</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>0</u>		
a Name of MTIA, CCT, PSA, or 103-12 IE: <u>PRIN MIDCAP GROWTH SEP ACCT-R6</u>				
b Name of sponsor of entity listed in (a): <u>PRINCIPAL LIFE INSURANCE COMPANY</u>				
c EIN-PN <u>42-0127290-021</u>	d Entity code <u>P</u>	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) <u>0</u>		

a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN U.S. PROPERTY SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-027	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN CORE PLUS BD SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-005	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN DIVERSIFIED INTL SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-015	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LGCAP S&P 500 INDEX SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-016	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN INTL I SEPARATE ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-048	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN SMCAP S&P 600 INDEX SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-028	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN MIDCAP S&P 400 INDEX SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-023	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LARGE CAP GROWTH I SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-066	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2010 SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-075	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2020 SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-076	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0

a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2030 SEP ACCT-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-077	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2040 SEP ACCT-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-078	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2050 SEP ACCT-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-079	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN FIN GRP, INC. STOCK SA-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-086	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN SMALLCAP VALUE II SA-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-096	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN HIGH YIELD I SEP ACCT-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-101	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN INFLATION PROTECT SA-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-099	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN SAM BALANCED SEP ACCT-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-105	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN SAM CONS BALANCED SA-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-106	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN SAM CONS GROWTH SA-R6

b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY

c EIN-PN 42-0127290-107	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
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a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN SAM STRAT GROWTH SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-109	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2015 SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-110	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2025 SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-111	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2035 SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-112	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2045 SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-113	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN LIFETIME 2055 SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-114	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRINCIPAL OVERSEAS SEP ACCT-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-116	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN CAPITAL APPR SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-119	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN EQUITY INCOME SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-120	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN BOND MARKET INDEX SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-122	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0

a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN BLUE CHIP SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-133	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN GLOBAL DIV INC SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-130	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: PRIN SMALL-MIDCAP DIV SA-R6		
b Name of sponsor of entity listed in (a): PRINCIPAL LIFE INSURANCE COMPANY		
c EIN-PN 42-0127290-138	d Entity code P	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0
a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX MODERATE RET FUND		
b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.		
c EIN-PN 38-4097331-477	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 257816
a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX MODERATE 2025 FUND		
b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.		
c EIN-PN 38-4097332-478	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 706948
a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX MODERATE 2035 FUND		
b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.		
c EIN-PN 38-4097333-479	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 380508
a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX MODERATE 2045 FUND		
b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.		
c EIN-PN 38-4097334-480	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 337812
a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX MODERATE 2055 FUND		
b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.		
c EIN-PN 38-4097335-481	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 83004
a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX AGGRESSIVE 2025 FD		
b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.		
c EIN-PN 38-4097327-473	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 1594
a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX AGGRESSIVE 2045 FD		
b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.		
c EIN-PN 38-4097329-475	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 21140

a Name of MTIA, CCT, PSA, or 103-12 IE: MYCOMPASS INDEX AGGRESSIVE 2055 FD

b Name of sponsor of entity listed in (a): WILMINGTON TRUST, N.A.

c EIN-PN 38-4097330-476	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 33758
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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)
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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)
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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)
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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)
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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)
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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)
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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)
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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)
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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)
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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
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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
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021		
A Name of plan HAWK CONSULTANTS, LLC 401(K) SAVINGS PLAN	B Three-digit plan number (PN) ►	001
C Plan sponsor's name as shown on line 2a of Form 5500 HAWK CONSULTANTS, LLC	D Employer Identification Number (EIN) 73-1725551	

Part I	Asset and Liability Statement
---------------	--------------------------------------

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

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash.....	1a		
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)		
(2) Participant contributions.....	1b(2)		
(3) Other	1b(3)		
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)		
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)		
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	71614	33398
(9) Value of interest in common/collective trusts	1c(9)		1822580
(10) Value of interest in pooled separate accounts	1c(10)	5070024	
(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)		3507866
(14) Value of funds held in insurance company general account (unallocated contracts).....	1c(14)	120498	405412
(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	5262136	5769256

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 through 1j)	1k	0	0

Net Assets

l Net assets (subtract line 1k from line 1f)	1l	5262136	5769256
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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)	93800	
(B) Participants	2a(1)(B)	779830	
(C) Others (including rollovers).....	2a(1)(C)	506608	
(2) Noncash contributions.....	2a(2)		
(3) Total contributions. Add lines 2a(1)(A) , (B), (C), and line 2a(2)	2a(3)		1380238
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)	5184	
(F) Other	2b(1)(F)	2376	
(G) Total interest. Add lines 2b(1)(A) through (F).....	2b(1)(G)		7560
(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)	113056	
(D) Total dividends. Add lines 2b(2)(A) , (B), and (C)	2b(2)(D)		113056
(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)		70313
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		455501
(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)		94579
c Other income.....	2c		985
d Total income. Add all income amounts in column (b) and enter total.....	2d		2122232
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers.....	2e(1)	1569473	
(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)		1569473
f Corrective distributions (see instructions).....	2f		25265
g Certain deemed distributions of participant loans (see instructions).....	2g		4232
h Interest expense.....	2h		
i Administrative expenses: (1) Professional fees.....	2i(1)		
(2) Contract administrator fees.....	2i(2)		
(3) Investment advisory and management fees.....	2i(3)		
(4) Other.....	2i(4)	16142	
(5) Total administrative expenses. Add lines 2i(1) through (4).....	2i(5)		16142
j Total expenses. Add all expense amounts in column (b) and enter total.....	2j		1615112
Net Income and Reconciliation			
k Net income (loss). Subtract line 2j from line 2d.....	2k		507120
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: ALBAN & COMPANY CPAS

(2) EIN: 92-0176349

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:

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.).....

	Yes	No	Amount
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?	X		50000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?		X	
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.)	X		
4i	X		
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)			
4j		X	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?			
4k		X	
l Has the plan failed to provide any benefit when due under the plan?			
4l		X	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)			
4m	X		
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.			
4n	X		

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No
If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

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

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

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Retirement Plan Information This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110 2021 This Form is Open to Public Inspection.
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For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan HAWK CONSULTANTS, LLC 401(K) SAVINGS PLAN	B Three-digit plan number (PN) ► 001
C Plan sponsor's name as shown on line 2a of Form 5500 HAWK CONSULTANTS, LLC	D Employer Identification Number (EIN) 73-1725551

Part I	Distributions
--------	---------------

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

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....	1
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 71-0294708 42-0127290	
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.	
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year	3

Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)
---------	--

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)?	☐ Yes ☐ No ☐ N/A
If the plan is a defined benefit plan, go to line 8.	
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.	
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)	6a
b Enter the amount contributed by the employer to the plan for this plan year	6b
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount)	6c
If you completed line 6c, skip lines 8 and 9.	
7 Will the minimum funding amount reported on line 6c be met by the funding deadline?	☐ Yes ☐ No ☐ N/A
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change?	☐ Yes ☐ No ☐ N/A

Part III	Amendments
----------	------------

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box.....	☐ Increase ☐ Decrease ☐ Both ☐ No
--	--

Part IV	ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.
---------	--

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?	☐ Yes ☐ No
11 a Does the ESOP hold any preferred stock?	☐ Yes ☐ No
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.)	☐ Yes ☐ No
12 Does the ESOP hold any stock that is not readily tradable on an established securities market?	☐ Yes ☐ No

For Paperwork Reduction Act Notice, see the Instructions for Form 5500.

Schedule R (Form 5500) 2021
v. 201209

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

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

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment).....

14a

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14b

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment).....

14c

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year.....

15a

b The corresponding number for the second preceding plan year.....

15b

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year.....

16a

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers.....

16b

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:

Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:

☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?

☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify): _____

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation _____

**HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN**

**Financial Statements
And Supplementary Information**

December 31, 2021 and 2020

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INDEPENDENT AUDITOR'S REPORT

To the Administrative Committee of
Hawk Consultants, LLC 401(K) Savings Plan
Anchorage, Alaska

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

We have performed audits of the financial statements of Hawk Consultants, LLC 401(k) Savings 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 statements of net assets available for benefits as of December 31, 2021 and 2020, and the related statements of changes in net assets available for benefits for the years then ended, and the related notes to the financial statements.

Management, having determined it is permissible in the circumstances, has elected to have the audit of Hawk Consultants, LLC 401(k) Savings 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 certifications from qualified institutions as of and for the years ended December 31, 2021 and 2020, stating that the certified investment information, as described in Note 9 to the financial statements, is complete and accurate.

Opinion

In our opinion, based on our audits 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 (GAAS). 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 Hawk Consultants, LLC 401(k) Savings 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 the 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 Hawk Consultants, LLC 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 auditing standards generally accepted in the United States of America 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, internal 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 judgement made by a reasonable user based on the financial statements.

In performing an audit in accordance with auditing standards generally accepted in the United States of America, 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 Hawk Consultants, LLC 401(k) Savings 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 Hawk Consultants, LLC 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 Schedule H, line 4i - Schedule of Assets (Held at End of Year) as of or for the year ended December 31, 2021, 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 2021 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 auditing standards generally accepted in the United States of America GAAS. 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 schedule 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).

Albar & Company

Anchorage, Alaska
October 15, 2022

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Statements of Net Assets Available for Benefits
December 31, 2021 and 2020

	<u>2021</u>	<u>2020</u>
ASSETS:		
Investments at fair value	\$ 5,330,446	\$ 5,070,024
Investments at contract value	405,412	120,498
Receivables:		
Employer contributions	-	-
Participant contributions	-	-
Notes receivable from participants	<u>33,398</u>	<u>71,614</u>
Total receivables	<u>33,398</u>	<u>71,614</u>
Total Assets	<u>5,769,256</u>	<u>5,262,136</u>
LIABILITIES:		
Excess contributions payable to participants	<u>(10,403)</u>	<u>(25,265)</u>
Total Liabilities	<u>(10,403)</u>	<u>(25,265)</u>
Net Assets Available for Benefits	<u>\$ 5,758,853</u>	<u>\$ 5,236,871</u>

See independent auditor's report and notes to the financial statements.

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Statements of Changes in Net Assets Available for Benefits
For the year ended December 31, 2021 and 2020

	<u>2021</u>	<u>2020</u>
Additions to Net Assets Attributable to:		
Investment Income:		
Interest income guaranteed investment contracts	\$ 2,376	\$ 1,527
Dividends	113,056	-
Other income	985	-
Net appreciation (depreciation) in fair value of investments	<u>620,393</u>	<u>645,625</u>
Total Investment Income	<u>736,810</u>	<u>647,152</u>
Interest income on notes receivable from participants	<u>5,184</u>	<u>1,946</u>
Contributions:		
Employer contributions	93,800	69,124
Participant contributions	769,427	715,685
Rollover contributions	<u>506,608</u>	<u>84,847</u>
Total Contributions	<u>1,369,835</u>	<u>869,656</u>
Total Additions	<u>2,111,829</u>	<u>1,518,754</u>
Deductions from Net Assets Attributable to:		
Benefits paid to participants	(1,573,705)	(1,765,499)
Administrative expenses	<u>(16,142)</u>	<u>(5,440)</u>
Total Deductions	<u>(1,589,847)</u>	<u>(1,770,939)</u>
Increase (Decrease) in Net Assets Available for Benefits	521,982	(252,185)
Net Assets Available for Benefits - Beginning of year	<u>5,236,871</u>	<u>5,489,056</u>
Net Assets Available for Benefits – End of year	<u>\$ 5,758,853</u>	<u>\$ 5,236,871</u>

See independent auditor's reports and notes to the financial statements.

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 1 – Description of Plan

The following description of the Hawk Consultants, LLC 401(K) Savings Plan (The Plan) is provided for general information purposes only. The Plan is a single employer plan written in accordance with the United States Department of Labor Rules and Regulations provisions of the Employee Retirement Security Act of 1974 (ERISA). The Plan was formed on December 1, 1992.

Merger of Plans

In January 2017, Hawk Technical Services, LLC acquired 100% of the outstanding ownership of Hawk Consultants, LLC as a Qualified Subchapter S Subsidiary which files a consolidated income tax return, however separate payroll records and EIN are used. Hawk Consultants, LLC 401(K) Savings Plan was chosen to be the Retirement Plan going forward because its size was significantly larger than the Hawk Technical Services, LLC Plan which was then merged into the Hawk Consultants, LLC Plan effective December 31, 2017, although plan assets were not actually transferred into the merged plan until January, 2018. Under US Department of Labor Regulations, the surviving plan is not considered a multiple employer plan.

Tax Status

The IRS has determined and informed the Plan sponsor by a letter dated March 31, 2014, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the Plan administrator and the Plan's tax counsel believe that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt.

Participation

Eligible individuals consist of employees of Hawk Consultants, LLC and Hawk Technical Services, LLC who perform professional services in the engineering, construction management, and support areas for oil industry clients in Alaska, Texas, and other areas in which the industry may have operations. No minimum age or terms of service are required.

Contributions and Allocations

Each year, participants may contribute up to 15% of their compensation up to \$19,500 and \$19,500 for 2021 and 2020, respectively, and if age 50, may contribute an additional \$6,500, subject to top heavy testing limitations. The employer contributes .25% for each 1%, up to 4% of employee deferral amounts on a discretionary basis but has done so for the life of the plan.

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 1 – Description of the Plan, continued

Participant Accounts

Each participant's account is credited with their contributions, rollovers, loans, transfers in and employer contributions. Each participant has the authority to direct the investment in their account to one or more of the investment funds designated by the Plan Sponsor and provided by the custodian. For all accounts, investment gains, losses and expenses are recognized in the participant's account on a daily basis as the unit values of the investment funds change.

Notes Receivable from Participants

Participants may borrow the lesser of \$50,000 or 50% of their vested account balance. Repayment terms are generally five years with interest at 5.25% to 7.50% per annum. Payments are withheld from current employees and if not currently employed must be made directly by participant. Notes receivable from participants not receiving payments for 60 days or more are considered in default and are required to be distributed to the participant. Participants may take out no more than two loans each year and have no more than two loans outstanding at any time.

Vesting

Participants are immediately 100% vested in their share of employer contribution, rollover, transferred in, and deferral contributions.

Benefit Payments

Under provisions of the Plan, participants are eligible for benefit payments to participants or to their beneficiaries upon termination, death, disability, financial hardship or retirement upon reaching the normal retirement age of 65 or early retirement at age 55 if they cease employment. Distributions must begin no later than April 1 following the year the participant reaches age 70 ½, if reached before January 1, 2021, or age 72, if reached after January 1, 2021. Premature distributions are subject to certain penalties.

In service distributions are not allowed until participant reaches the Normal Retirement Age of 65.

A terminated participant employee may roll over their vested account balance to another qualified retirement plan or an individual retirement account (IRA), or receive their benefits as a single lump-sum payment.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 1 – Description of the Plan, Benefit Payment, continued

Retired participants are entitled to receive their benefits in any combination of the following ways:

- Joint and survivor annuity;
- Another form of annuity;
- Lump sum payment;
- Installments over a period of not more than the participant's assumed life expectancy, or participant's and beneficiaries assumed life expectancies, subject to certain limitations based on their relationship to the participant.

Forfeited Accounts

Participants are fully vested at time of contribution, so there are no forfeited accounts in the plan.

Rollover Contributions

Employees of the sponsor are eligible to rollover assets from plans where the employee was previously employed and other eligible qualified plans.

Plan Termination

Hawk Consultants, LLC has the right, under Plan provisions, to discontinue its contributions and participation in the Plan at any time, subject to ERISA rules. Since participants are fully vested from the date contributions are first made to the plan on their behalf, participants may withdraw funds after 60 days of termination of the plan.

Investment Options

The assets of the Plan are allocated to various investments offered by the custodian at the direction of the participant.

Note 2 – Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements are presented on the accrual basis of accounting in compliance with accounting principles generally accepted in the United States of America. Under the accrual basis of accounting, employer contributions, excess contributions payable and plan expenses are recognized when incurred. Benefits due to beneficiaries are recognized and recorded when paid.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 2 – Summary of Significant Accounting Policies, continued

Investment Valuation and Income Recognition

The Plan's investment assets are stated at fair value (except for fully benefit-responsive guaranteed investment contracts which are valued at contract value). Quoted market prices are used to value investments in pooled separate accounts held by the Plan at year end.

Income recognition includes the net change in the fair value of investments and includes investments bought and sold, as well as held, during the year.

Purchases and sales of securities are recorded on a trade date basis. Interest income is recorded when earned.

Notes Receivable From Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when incurred. No allowance for credit losses are recorded.

Administrative Expenses

Certain administrative activities are performed by officers or employees of the Plan Sponsor. No such officer receives compensation from the Plan. Common administrative expenses consisting of insurance company fees, administration fees, and other related professional services will be made either by the plan assets in a proportional manner between all participants or paid directly by the Plan Sponsor. If other expenses are specifically incurred by, or attributable to, a specific participant, his or her account balance will be reduced to reflect the participant-specific fee. Other significant plan expenses are paid by the sponsor.

Excess Contributions Payable to Participants

Amounts payable to participants for contributions in excess of amounts allowed by the Internal Revenue Service are recorded as a liability and corresponding reduction to employee contributions. The Plan distributed 2021 and 2020 excess contributions to the applicable participants before June 15, 2022 and 2021, respectively.

Payment of Benefits

Benefits are recorded when paid.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Risks and Uncertainties

The Plan's investments are exposed to various risks, such as interest rate, credit risks and overall market volatility risks. Due to the level of risk associated with certain investments, it is reasonably possible that changes in the values of those investments will occur in the near term that could materially affect the amounts reported in the Statements of Net Assets Available for Benefits.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America (U.S. GAAP) may require the Plan administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

Subsequent Events

In early 2020, the Covid 19 World Pandemic significantly affected the value of virtually all investments traded on public markets, including those in this plan. Since that time, investments have made significant recoveries but many have not reached pre-pandemic levels. Investment professionals suggest that further recovery may take several years and be subject to continued events surrounding this event.

Management has evaluated all other events occurring after December 31, 2021 through October 15, 2022, the date the financial statements were available to be issued, for events that should be disclosed to prevent the financial statements from being materially misleading.

Note 3 – Investment Management

At December 31, 2021 100% of the Plan's assets are held by Voya Retirement Insurance and Annuity Company and are invested in registered investment companies (mutual funds), common collective accounts, guaranteed investment contracts and participant loans. Investments, except the guaranteed investment contracts and participant loans, are regulated in accordance with SEC securities laws and protections.

At December 31, 2020 100% of the Plan's assets were held by Principal Financial Group and were invested in pooled separate accounts, guaranteed investment contracts and participant loans. See valuation methods in Note 7.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 3 – Investment Management, continued

The custodians of the Plan, is responsible for providing the investment contracts, providing enrollment materials, receiving and processing contributions, processing participant directed investment changes, valuing assets, providing quarterly statements to participants, processing beneficiary benefit distributions, withholding and remitting to the IRS proper tax withholdings and providing 1099-R forms to the participants receiving distributions. See also “Schedule of Assets (Held at End of Year)” for amounts invested in each fund.

Note 4 – Plan Administration

Voya also acts as the Plan’s Third Party Administrator (TPA) at December 31, 2021. The duties of the TPA are providing consultation and advice to the trustees in managing the Plan, allocating participant contributions, plan earnings and expenditures, preparing IRS Form 5500 and other information to be reported to the DOL and ERISA, and calculating plan benefits and distributions. They are also responsible for providing documents and forms necessary for the administration of the plan, including plan amendments, obtaining the IRS Determination Letter, and providing quarterly participant statements to the trustees and to the participants.

Note 5 – Trustees

The trustees for the Plan are appointed by the Plan sponsor, Hawk Consultants, LLC and by virtue of its 100% ownership of Hawk Consultants, LLC and Hawk Technical Services, LLC. The duties of the trustees/Plan sponsor are designing and implementing the Plan and any amendments thereto, enrolling participating employees, providing information to the Custodian and TPA, choosing investment options, determining employee eligibility, providing required information to the participating employees, and managing overall Plan operations.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 6 – Guaranteed Investment Contracts

In 2021 and 2020, the Plan was invested in guaranteed investment contracts with Voya Retirement Insurance and Annuity Company (Voya) and Principal Financial Group (Principal), respectively. This portfolio of investment contracts is comprised of traditional and synthetic investment contracts, and some short term investments in government securities. These contracts meet the fully benefit-responsive investment contract criteria and therefore are reported at contract value. Contract value is the relevant measure for these investment contracts because this is the amount received by participants if they were to initiate permitted transactions under the terms of the Plan prior to the maturity date of each contract. Contract value represents contributions made under each contract, plus earnings, less participant withdrawals and administrative expenses.

The key difference between a synthetic contract and a traditional investment contract is that the Plan owns the underlying assets of the synthetic investment contract. A synthetic investment contract includes a wrapper contract, which is an agreement for the wrap issuer, such as a bank or insurance company, to make payments to the Plan in certain circumstances. The wrapper contract typically includes certain conditions and limitations on the underlying assets owned by the Plan. With traditional investment contracts, the Plan owns only the contract itself. Synthetic and traditional investment contracts are designed to accrue interest based on crediting rates established by the contract issuers.

The synthetic investment contracts held by the plan include wrapper contracts that provide a guarantee that the credit rates will not fall below -0- percent. Cash flow volatility (timing of benefit payments) as well as assets underperformance can be passed through to the Plan through adjustments to future crediting rates to recognize the difference between fair value and the book value of the underlying assets. Credit rates are reviewed quarterly or monthly for resetting.

The traditional investment contracts held by the Plan are guaranteed investment contracts. The contract issuers are contractually obligated to repay the principal and interest at a specified interest rate that is guaranteed to the Plan. The minimum crediting rates vary as the fund holds multiple synthetic and traditional investment contracts but the minimum crediting rates range from 2.27% to 3.65% before expenses. The fund blended net crediting rate was 1.87% to 3.15% for 2021 and 1.85% to 2.87% for 2020.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 6 – Guaranteed Investment Contracts, continued

The Plan's ability to receive amounts due in accordance with investment contracts is dependent on third-party issuer's ability to meet its financial obligations. The issuer's ability to meet its contractual obligations may be affected by future economic and regulatory developments. Certain events may limit the ability of the Plan to transact at contract value with the contract issuer.

Examples of such events include the following:

- The Plan's failure to qualify under Section 401(a) of the Internal Revenue Code or the failure of the trust to be tax-exempt under Section 501(a) of the Internal Revenue Code.
- Premature termination of the contracts.
- Plan termination or merger.
- Changes to the Plan's prohibition on competing investment options.
- Bankruptcy of the plan sponsor or other plan sponsor events (for example, divestitures or spinoffs of a subsidiary) that significantly affect the Plan's normal operations.

No events are probable of occurring in the short term that might limit the ability of the Plan to transact at fair value with the issuers and that also would limit the ability of the Plan to transact with Plan participants.

In addition, certain events allow the issuer to terminate the contracts with the Plan and settle at an amount different from fair value. Those events may be different under each contract. Examples of such events include the following:

- An uncured violation of the Plan's investment guidelines.
- A breach of material obligation under the contract.
- A material misrepresentation.
- A material amendment to the agreements without the consent of the issuer.

There are no reserves against contract value for credit risk of the contract issuer or otherwise.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 7 – Fair Value Measurement of Investments

ASC 820-10-50 establishes a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under FASC 820-10-50 are described below:

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

Level 2: Inputs to the valuation methodology include:

- Quoted prices for similar assets or liabilities in active markets;
- Quoted prices for identical or similar assets or liabilities in inactive markets;
- Inputs other than quoted prices that are observable for the asset or liability;
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

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

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

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2021 and 2020.

Registered Investment Companies (Mutual Funds): Are valued at daily closing prices as reported by the fund. Mutual funds held by the plan are open-end mutual funds that are registered with the U.S. Securities and Exchange Commission. These funds are required to publish their daily net asset value and to transact at that price.

Pooled Separate Accounts: Units held in Pooled separate accounts (PSA) are valued using the net asset value practical expedient (NAV practical expedient) of the PSA, as reported by the account managers. The NAV practical expedient is based on the fair value of the underlying assets owned by the PSA, minus its liabilities, and then divided by the number of units outstanding.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 7 – Fair Value Measurement of Investments, continued

Common Collective Trusts: Units held in common/collective trusts are valued based on the plan's interest in the underlying investments that are held within the trust and which are traded in an active market by the trustee.

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 fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following table sets forth by level, within the fair value hierarchy, the Plan's assets at fair values as of December 31, 2021 and 2020.

Assets at Fair Value as of December 31, 2021

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Common Collective Trusts	\$ 1,822,580	\$ -	\$ -	\$ 1,822,580
Mutual Funds	<u>3,507,866</u>	<u>-</u>	<u>-</u>	<u>3,507,866</u>
Total investments at fair value	<u>\$ 5,330,446</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 5,330,446</u>

Assets at Fair Value as of December 31, 2020

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Pooled separate accounts	\$ <u>5,070,024</u>	\$ <u>-</u>	\$ <u>-</u>	\$ <u>5,070,024</u>
Total investments at fair value	<u>\$ 5,070,024</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 5,070,024</u>

For years ended December 31, 2021 and 2020, there was no significant transfers between Levels 1 and 2 and no transfers in or out of Level 3.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note - 8 Reconciliation to Schedule H, Form 5500

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

	<u>2021</u>	<u>2020</u>
Net Assets available for benefits per the financial statements	\$ 5,758,853	\$ 5,236,871
Contract to fair value adjustment for guaranteed investment contracts per 5500	-	-
Excess contributions payable to participants	<u>10,403</u>	<u>25,265</u>
Net assets available for benefits per Schedule H, Form 5500	<u>\$ 5,769,256</u>	<u>\$ 5,262,136</u>

The following is a reconciliation of changes in net assets available for benefits per the financial statements and Schedule H, Form 5500 as of December 31:

	<u>2021</u>	<u>2020</u>
Net income (loss) per Schedule H, Form 5500	\$ 507,120	\$ (225,516)
Unrealized (gain) loss on assets held by guaranteed investment contracts at end of the year	-	(1,404)
Recognition of 2021 excess contributions paid to Participants in 2022 but accrued in 2021	(10,403)	-
Recognition of 2020 excess contributions paid to Participants in 2021, but accrued in 2020	<u>25,265</u>	<u>(25,265)</u>
Increase (decrease) in net assets available for benefits per financial statements	<u>\$ 521,982</u>	<u>\$ (252,185)</u>

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 9 – Information Certified by Trustee

Voya Retirement Insurance and Annuity Company and Principal Life Insurance Company, the trustees at December 31, 2021 and 2020, respectively have certified the following information as complete and accurate, including investment assets, transactions and income and the schedules of investments and reportable transactions. Amounts are reported at contract value:

	2021	2020
Registered Investment Companies (Mutual Funds)	\$ 3,507,866	\$ -
Common Collective Trusts	1,822,580	-
Pooled separate accounts	-	5,070,024
Guaranteed interest contracts	<u>405,412</u>	<u>120,498</u>
Total plan investments	<u>\$ 5,735,858</u>	<u>\$ 5,190,522</u>

Note 10 – Plan Administrative Expenses

Plan expenses for commissions, investment and management fees of \$16,142 and \$5,440 for the years ended December 31, 2021 and 2020, respectively, were paid from Plan assets.

Note 11 – Concentration of Credit Risk

The Plan held \$405,412 and \$120,498 in 2021 and 2020, respectively, in guaranteed investment contracts issued by the custodian's affiliates, Voya Retirement Insurance and Annuity Company and Principal Life Insurance Company, respectively, collateralized by its general account investments, private market bonds, commercial mortgages and mortgage backed securities. Investments in pooled investment accounts managed by Principal also contain substantial investments in generally high quality debt instruments.

Note 12 – Period Subject to Major Tax Jurisdictions

In accordance with Accounting Standards Codification 740 -10 – 50 - 15, tax years 2017 through 2020 for the plan remain subject to examination by major tax jurisdictions.

Hawk Consultants, LLC
401(k) Savings Plan
Schedule H, line 4i -
Schedule of Assets
(Held at End of Year)
EIN 73-1725551
Plan 001
At December 31, 2021

(a) (b) Identity of issue, borrower, lessor or similar party	(c) Description of investments including maturity date, rate of interest, collateral, par, or maturity date	(d) Cost	(e) Current Value
AB Large Cap Grw Fnd Z	Registered Investment Company		\$ 412,128
AB Small Cap Grw Port Z	Registered Investment Company		8,017
American Funds New World R6	Registered Investment Company		65,106
Calv US Lg Cp Cr Rsp In F R6	Registered Investment Company		6,928
DFA Infl-Prot Sec Port Ins	Registered Investment Company		86,936
DFA Real Estate Secs Port Ins	Registered Investment Company		184,734
Fid US Bd Id Fd	Registered Investment Company		55,360
Fidelity 500 Index Fund	Registered Investment Company		728,802
Fidelity Ext Mkt Index Fund	Registered Investment Company		4,971
Fidelity Mid Cap Idx Fd	Registered Investment Company		210,613
Fidelity Sm Cp Ind Fd	Registered Investment Company		146,849
Franklin Sm Cap Value Fnd R6	Registered Investment Company		108,049
Hartfrd Dividnd & Grw Fnd R6	Registered Investment Company		238,530
MFS Intl Diversification Fd R6	Registered Investment Company		205,817
MFS Mid Cap Value Fund R6	Registered Investment Company		11,862
MyCompass Ind Agg 2025 Fd R	Common Collective Trust		1,594
MyCompass Ind Agg 2045 Fd R	Common Collective Trust		21,140
MyCompass Ind Agg 2055 Fd R	Common Collective Trust		33,758
MyCompass Ind Mod 2025 Fd R	Common Collective Trust		706,948
MyCompass Ind Mod 2035 Fd R	Common Collective Trust		380,508
MyCompass Ind Mod 2045 Fd R	Common Collective Trust		337,812
MyCompass Ind Mod 2055 Fd R	Common Collective Trust		83,004
MyCompass Ind Mod Ret Fd R	Common Collective Trust		257,816
PGIM High Yield Fund R6	Registered Investment Company		123,524
Vangrd Growth Index Fund Adm	Registered Investment Company		105,607
Vangrd Intl Grw Fnd Adm	Registered Investment Company		12,580
Vangrd Intl Value Fnd Inv	Registered Investment Company		38,014
Vangrd LifeStrat Cns Gr Fd Inv	Registered Investment Company		140,472
Vangrd LifeStrat Grw Fd Inv	Registered Investment Company		35,620
Vangrd LifeStrat Md Grw Fd Inv	Registered Investment Company		186,986
Virtus KAR Mid Cap Growth R6	Registered Investment Company		33,237
* Voya Fixed Account (4450)	Insurance Company General Account		405,412
* Voya Intermediate Bond Fund R6	Registered Investment Company		357,124
* Participant Loan Fund	Participant Loans - Rates 5.25% - 7.50%		<u>33,398</u>
Total Plan Assets			<u>\$ 5,769,256</u>

* Denotes party-in-interest.

Voya Retirement Insurance and Annuity Company acts as the custodian, investment advisor and third party administrator and is considered a party in interest.

Participants are also considered parties in interest.

Column (d) is not required as the Plan's investments are totally participant directed.

See independent auditor's report and notes to the financial statements.

Attachment to 2021 Form 5500
Schedule H, line 4i - Schedule of Assets
(Held at End of Year)
Hawk Consultants, LLC 401(k) Savings Plan
EIN 73-1725551
Plan 001
As of December 31, 2021

(a) (b) Identity of issue, borrower, lessor or similar party	(c) Description of investments including maturity date, rate of interest, collateral, par, or maturity date	(d) Cost	(e) Current Value
AB Large Cap Grw Fnd Z	Registered Investment Company		\$412,128
AB Small Cap Grw Port Z	Registered Investment Company		\$8,017
American Funds New World R6	Registered Investment Company		\$65,106
Calv US Lg Cp Cr Rsp In F R6	Registered Investment Company		\$6,928
DFA Infl-Prot Sec Port Ins	Registered Investment Company		\$86,936
DFA Real Estate Secs Port Ins	Registered Investment Company		\$184,734
Fid US Bd Id Fd	Registered Investment Company		\$55,360
Fidelity 500 Index Fund	Registered Investment Company		\$728,802
Fidelity Ext Mkt Index Fund	Registered Investment Company		\$4,971
Fidelity Mid Cap Idx Fd	Registered Investment Company		\$210,613
Fidelity Sm Cp Ind Fd	Registered Investment Company		\$146,849
Franklin Sm Cap Value Fnd R6	Registered Investment Company		\$108,049
Hartfrd Dividnd & Grw Fnd R6	Registered Investment Company		\$238,530
MFS Intl Diversification Fd R6	Registered Investment Company		\$205,817
MFS Mid Cap Value Fund R6	Registered Investment Company		\$11,862
MyCompass Ind Agg 2025 Fd R	Common Collective Trust		\$1,594
MyCompass Ind Agg 2045 Fd R	Common Collective Trust		\$21,140
MyCompass Ind Agg 2055 Fd R	Common Collective Trust		\$33,758
MyCompass Ind Mod 2025 Fd R	Common Collective Trust		\$706,948
MyCompass Ind Mod 2035 Fd R	Common Collective Trust		\$380,508
MyCompass Ind Mod 2045 Fd R	Common Collective Trust		\$337,812
MyCompass Ind Mod 2055 Fd R	Common Collective Trust		\$83,004
MyCompass Ind Mod Ret Fd R	Common Collective Trust		\$257,816
PGIM High Yield Fund R6	Registered Investment Company		\$123,524
Vangrd Growth Index Fund Adm	Registered Investment Company		\$105,607
Vangrd Intl Grw Fnd Adm	Registered Investment Company		\$12,580
Vangrd Intl Value Fnd Inv	Registered Investment Company		\$38,014
Vangrd LifeStrat Cns Gr Fd Inv	Registered Investment Company		\$140,472
Vangrd LifeStrat Grw Fd Inv	Registered Investment Company		\$35,620
Vangrd LifeStrat Md Grw Fd Inv	Registered Investment Company		\$186,986
Virtus KAR Mid Cap Growth R6	Registered Investment Company		\$33,239
* Voya Fixed Account (4450)	Insurance Company General Account		\$405,412
* Voya Intermediate Bond Fund R6	Registered Investment Company		\$357,124
Loan Fund	Participant Loans - Rates 5.25% - 7.50%		\$33,398
Total			\$5,769,256

* denotes party-in-interest

Column (d) is not required as the Plan's investments are totally participant directed.

**HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN**

**Financial Statements
And Supplementary Information**

December 31, 2021 and 2020

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INDEPENDENT AUDITOR'S REPORT

To the Administrative Committee of
Hawk Consultants, LLC 401(K) Savings Plan
Anchorage, Alaska

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

We have performed audits of the financial statements of Hawk Consultants, LLC 401(k) Savings 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 statements of net assets available for benefits as of December 31, 2021 and 2020, and the related statements of changes in net assets available for benefits for the years then ended, and the related notes to the financial statements.

Management, having determined it is permissible in the circumstances, has elected to have the audit of Hawk Consultants, LLC 401(k) Savings 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 certifications from qualified institutions as of and for the years ended December 31, 2021 and 2020, stating that the certified investment information, as described in Note 9 to the financial statements, is complete and accurate.

Opinion

In our opinion, based on our audits 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 (GAAS). 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 Hawk Consultants, LLC 401(k) Savings 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 the 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 Hawk Consultants, LLC 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 auditing standards generally accepted in the United States of America 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, internal 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 judgement made by a reasonable user based on the financial statements.

In performing an audit in accordance with auditing standards generally accepted in the United States of America, 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 Hawk Consultants, LLC 401(k) Savings 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 Hawk Consultants, LLC 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 Schedule H, line 4i - Schedule of Assets (Held at End of Year) as of or for the year ended December 31, 2021, 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 2021 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 auditing standards generally accepted in the United States of America GAAS. 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 schedule 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).

Albar & Company

Anchorage, Alaska
October 15, 2022

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Statements of Net Assets Available for Benefits
December 31, 2021 and 2020

	<u>2021</u>	<u>2020</u>
ASSETS:		
Investments at fair value	\$ 5,330,446	\$ 5,070,024
Investments at contract value	405,412	120,498
Receivables:		
Employer contributions	-	-
Participant contributions	-	-
Notes receivable from participants	<u>33,398</u>	<u>71,614</u>
Total receivables	<u>33,398</u>	<u>71,614</u>
Total Assets	<u>5,769,256</u>	<u>5,262,136</u>
LIABILITIES:		
Excess contributions payable to participants	<u>(10,403)</u>	<u>(25,265)</u>
Total Liabilities	<u>(10,403)</u>	<u>(25,265)</u>
Net Assets Available for Benefits	<u>\$ 5,758,853</u>	<u>\$ 5,236,871</u>

See independent auditor's report and notes to the financial statements.

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Statements of Changes in Net Assets Available for Benefits
For the year ended December 31, 2021 and 2020

	<u>2021</u>	<u>2020</u>
Additions to Net Assets Attributable to:		
Investment Income:		
Interest income guaranteed investment contracts	\$ 2,376	\$ 1,527
Dividends	113,056	-
Other income	985	-
Net appreciation (depreciation) in fair value of investments	<u>620,393</u>	<u>645,625</u>
Total Investment Income	<u>736,810</u>	<u>647,152</u>
Interest income on notes receivable from participants	<u>5,184</u>	<u>1,946</u>
Contributions:		
Employer contributions	93,800	69,124
Participant contributions	769,427	715,685
Rollover contributions	<u>506,608</u>	<u>84,847</u>
Total Contributions	<u>1,369,835</u>	<u>869,656</u>
Total Additions	<u>2,111,829</u>	<u>1,518,754</u>
Deductions from Net Assets Attributable to:		
Benefits paid to participants	(1,573,705)	(1,765,499)
Administrative expenses	<u>(16,142)</u>	<u>(5,440)</u>
Total Deductions	<u>(1,589,847)</u>	<u>(1,770,939)</u>
Increase (Decrease) in Net Assets Available for Benefits	521,982	(252,185)
Net Assets Available for Benefits - Beginning of year	<u>5,236,871</u>	<u>5,489,056</u>
Net Assets Available for Benefits – End of year	<u>\$ 5,758,853</u>	<u>\$ 5,236,871</u>

See independent auditor's reports and notes to the financial statements.

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 1 – Description of Plan

The following description of the Hawk Consultants, LLC 401(K) Savings Plan (The Plan) is provided for general information purposes only. The Plan is a single employer plan written in accordance with the United States Department of Labor Rules and Regulations provisions of the Employee Retirement Security Act of 1974 (ERISA). The Plan was formed on December 1, 1992.

Merger of Plans

In January 2017, Hawk Technical Services, LLC acquired 100% of the outstanding ownership of Hawk Consultants, LLC as a Qualified Subchapter S Subsidiary which files a consolidated income tax return, however separate payroll records and EIN are used. Hawk Consultants, LLC 401(K) Savings Plan was chosen to be the Retirement Plan going forward because its size was significantly larger than the Hawk Technical Services, LLC Plan which was then merged into the Hawk Consultants, LLC Plan effective December 31, 2017, although plan assets were not actually transferred into the merged plan until January, 2018. Under US Department of Labor Regulations, the surviving plan is not considered a multiple employer plan.

Tax Status

The IRS has determined and informed the Plan sponsor by a letter dated March 31, 2014, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the Plan administrator and the Plan's tax counsel believe that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt.

Participation

Eligible individuals consist of employees of Hawk Consultants, LLC and Hawk Technical Services, LLC who perform professional services in the engineering, construction management, and support areas for oil industry clients in Alaska, Texas, and other areas in which the industry may have operations. No minimum age or terms of service are required.

Contributions and Allocations

Each year, participants may contribute up to 15% of their compensation up to \$19,500 and \$19,500 for 2021 and 2020, respectively, and if age 50, may contribute an additional \$6,500, subject to top heavy testing limitations. The employer contributes .25% for each 1%, up to 4% of employee deferral amounts on a discretionary basis but has done so for the life of the plan.

HAWK CONSULTANTS, LLC
401(K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 1 – Description of the Plan, continued

Participant Accounts

Each participant's account is credited with their contributions, rollovers, loans, transfers in and employer contributions. Each participant has the authority to direct the investment in their account to one or more of the investment funds designated by the Plan Sponsor and provided by the custodian. For all accounts, investment gains, losses and expenses are recognized in the participant's account on a daily basis as the unit values of the investment funds change.

Notes Receivable from Participants

Participants may borrow the lesser of \$50,000 or 50% of their vested account balance. Repayment terms are generally five years with interest at 5.25% to 7.50% per annum. Payments are withheld from current employees and if not currently employed must be made directly by participant. Notes receivable from participants not receiving payments for 60 days or more are considered in default and are required to be distributed to the participant. Participants may take out no more than two loans each year and have no more than two loans outstanding at any time.

Vesting

Participants are immediately 100% vested in their share of employer contribution, rollover, transferred in, and deferral contributions.

Benefit Payments

Under provisions of the Plan, participants are eligible for benefit payments to participants or to their beneficiaries upon termination, death, disability, financial hardship or retirement upon reaching the normal retirement age of 65 or early retirement at age 55 if they cease employment. Distributions must begin no later than April 1 following the year the participant reaches age 70 ½, if reached before January 1, 2021, or age 72, if reached after January 1, 2021. Premature distributions are subject to certain penalties.

In service distributions are not allowed until participant reaches the Normal Retirement Age of 65.

A terminated participant employee may roll over their vested account balance to another qualified retirement plan or an individual retirement account (IRA), or receive their benefits as a single lump-sum payment.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 1 – Description of the Plan, Benefit Payment, continued

Retired participants are entitled to receive their benefits in any combination of the following ways:

- Joint and survivor annuity;
- Another form of annuity;
- Lump sum payment;
- Installments over a period of not more than the participant's assumed life expectancy, or participant's and beneficiaries assumed life expectancies, subject to certain limitations based on their relationship to the participant.

Forfeited Accounts

Participants are fully vested at time of contribution, so there are no forfeited accounts in the plan.

Rollover Contributions

Employees of the sponsor are eligible to rollover assets from plans where the employee was previously employed and other eligible qualified plans.

Plan Termination

Hawk Consultants, LLC has the right, under Plan provisions, to discontinue its contributions and participation in the Plan at any time, subject to ERISA rules. Since participants are fully vested from the date contributions are first made to the plan on their behalf, participants may withdraw funds after 60 days of termination of the plan.

Investment Options

The assets of the Plan are allocated to various investments offered by the custodian at the direction of the participant.

Note 2 – Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements are presented on the accrual basis of accounting in compliance with accounting principles generally accepted in the United States of America. Under the accrual basis of accounting, employer contributions, excess contributions payable and plan expenses are recognized when incurred. Benefits due to beneficiaries are recognized and recorded when paid.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 2 – Summary of Significant Accounting Policies, continued

Investment Valuation and Income Recognition

The Plan's investment assets are stated at fair value (except for fully benefit-responsive guaranteed investment contracts which are valued at contract value). Quoted market prices are used to value investments in pooled separate accounts held by the Plan at year end.

Income recognition includes the net change in the fair value of investments and includes investments bought and sold, as well as held, during the year.

Purchases and sales of securities are recorded on a trade date basis. Interest income is recorded when earned.

Notes Receivable From Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when incurred. No allowance for credit losses are recorded.

Administrative Expenses

Certain administrative activities are performed by officers or employees of the Plan Sponsor. No such officer receives compensation from the Plan. Common administrative expenses consisting of insurance company fees, administration fees, and other related professional services will be made either by the plan assets in a proportional manner between all participants or paid directly by the Plan Sponsor. If other expenses are specifically incurred by, or attributable to, a specific participant, his or her account balance will be reduced to reflect the participant-specific fee. Other significant plan expenses are paid by the sponsor.

Excess Contributions Payable to Participants

Amounts payable to participants for contributions in excess of amounts allowed by the Internal Revenue Service are recorded as a liability and corresponding reduction to employee contributions. The Plan distributed 2021 and 2020 excess contributions to the applicable participants before June 15, 2022 and 2021, respectively.

Payment of Benefits

Benefits are recorded when paid.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Risks and Uncertainties

The Plan's investments are exposed to various risks, such as interest rate, credit risks and overall market volatility risks. Due to the level of risk associated with certain investments, it is reasonably possible that changes in the values of those investments will occur in the near term that could materially affect the amounts reported in the Statements of Net Assets Available for Benefits.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America (U.S. GAAP) may require the Plan administrator to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results may differ from those estimates.

Subsequent Events

In early 2020, the Covid 19 World Pandemic significantly affected the value of virtually all investments traded on public markets, including those in this plan. Since that time, investments have made significant recoveries but many have not reached pre-pandemic levels. Investment professionals suggest that further recovery may take several years and be subject to continued events surrounding this event.

Management has evaluated all other events occurring after December 31, 2021 through October 15, 2022, the date the financial statements were available to be issued, for events that should be disclosed to prevent the financial statements from being materially misleading.

Note 3 – Investment Management

At December 31, 2021 100% of the Plan's assets are held by Voya Retirement Insurance and Annuity Company and are invested in registered investment companies (mutual funds), common collective accounts, guaranteed investment contracts and participant loans. Investments, except the guaranteed investment contracts and participant loans, are regulated in accordance with SEC securities laws and protections.

At December 31, 2020 100% of the Plan's assets were held by Principal Financial Group and were invested in pooled separate accounts, guaranteed investment contracts and participant loans. See valuation methods in Note 7.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 3 – Investment Management, continued

The custodians of the Plan, is responsible for providing the investment contracts, providing enrollment materials, receiving and processing contributions, processing participant directed investment changes, valuing assets, providing quarterly statements to participants, processing beneficiary benefit distributions, withholding and remitting to the IRS proper tax withholdings and providing 1099-R forms to the participants receiving distributions. See also “Schedule of Assets (Held at End of Year)” for amounts invested in each fund.

Note 4 – Plan Administration

Voya also acts as the Plan’s Third Party Administrator (TPA) at December 31, 2021. The duties of the TPA are providing consultation and advice to the trustees in managing the Plan, allocating participant contributions, plan earnings and expenditures, preparing IRS Form 5500 and other information to be reported to the DOL and ERISA, and calculating plan benefits and distributions. They are also responsible for providing documents and forms necessary for the administration of the plan, including plan amendments, obtaining the IRS Determination Letter, and providing quarterly participant statements to the trustees and to the participants.

Note 5 – Trustees

The trustees for the Plan are appointed by the Plan sponsor, Hawk Consultants, LLC and by virtue of its 100% ownership of Hawk Consultants, LLC and Hawk Technical Services, LLC. The duties of the trustees/Plan sponsor are designing and implementing the Plan and any amendments thereto, enrolling participating employees, providing information to the Custodian and TPA, choosing investment options, determining employee eligibility, providing required information to the participating employees, and managing overall Plan operations.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 6 – Guaranteed Investment Contracts

In 2021 and 2020, the Plan was invested in guaranteed investment contracts with Voya Retirement Insurance and Annuity Company (Voya) and Principal Financial Group (Principal), respectively. This portfolio of investment contracts is comprised of traditional and synthetic investment contracts, and some short term investments in government securities. These contracts meet the fully benefit-responsive investment contract criteria and therefore are reported at contract value. Contract value is the relevant measure for these investment contracts because this is the amount received by participants if they were to initiate permitted transactions under the terms of the Plan prior to the maturity date of each contract. Contract value represents contributions made under each contract, plus earnings, less participant withdrawals and administrative expenses.

The key difference between a synthetic contract and a traditional investment contract is that the Plan owns the underlying assets of the synthetic investment contract. A synthetic investment contract includes a wrapper contract, which is an agreement for the wrap issuer, such as a bank or insurance company, to make payments to the Plan in certain circumstances. The wrapper contract typically includes certain conditions and limitations on the underlying assets owned by the Plan. With traditional investment contracts, the Plan owns only the contract itself. Synthetic and traditional investment contracts are designed to accrue interest based on crediting rates established by the contract issuers.

The synthetic investment contracts held by the plan include wrapper contracts that provide a guarantee that the credit rates will not fall below -0- percent. Cash flow volatility (timing of benefit payments) as well as assets underperformance can be passed through to the Plan through adjustments to future crediting rates to recognize the difference between fair value and the book value of the underlying assets. Credit rates are reviewed quarterly or monthly for resetting.

The traditional investment contracts held by the Plan are guaranteed investment contracts. The contract issuers are contractually obligated to repay the principal and interest at a specified interest rate that is guaranteed to the Plan. The minimum crediting rates vary as the fund holds multiple synthetic and traditional investment contracts but the minimum crediting rates range from 2.27% to 3.65% before expenses. The fund blended net crediting rate was 1.87% to 3.15% for 2021 and 1.85% to 2.87% for 2020.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 6 – Guaranteed Investment Contracts, continued

The Plan's ability to receive amounts due in accordance with investment contracts is dependent on third-party issuer's ability to meet its financial obligations. The issuer's ability to meet its contractual obligations may be affected by future economic and regulatory developments. Certain events may limit the ability of the Plan to transact at contract value with the contract issuer.

Examples of such events include the following:

- The Plan's failure to qualify under Section 401(a) of the Internal Revenue Code or the failure of the trust to be tax-exempt under Section 501(a) of the Internal Revenue Code.
- Premature termination of the contracts.
- Plan termination or merger.
- Changes to the Plan's prohibition on competing investment options.
- Bankruptcy of the plan sponsor or other plan sponsor events (for example, divestitures or spinoffs of a subsidiary) that significantly affect the Plan's normal operations.

No events are probable of occurring in the short term that might limit the ability of the Plan to transact at fair value with the issuers and that also would limit the ability of the Plan to transact with Plan participants.

In addition, certain events allow the issuer to terminate the contracts with the Plan and settle at an amount different from fair value. Those events may be different under each contract. Examples of such events include the following:

- An uncured violation of the Plan's investment guidelines.
- A breach of material obligation under the contract.
- A material misrepresentation.
- A material amendment to the agreements without the consent of the issuer.

There are no reserves against contract value for credit risk of the contract issuer or otherwise.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 7 – Fair Value Measurement of Investments

ASC 820-10-50 establishes a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels of the fair value hierarchy under FASC 820-10-50 are described below:

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

Level 2: Inputs to the valuation methodology include:

- Quoted prices for similar assets or liabilities in active markets;
- Quoted prices for identical or similar assets or liabilities in inactive markets;
- Inputs other than quoted prices that are observable for the asset or liability;
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

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

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

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2021 and 2020.

Registered Investment Companies (Mutual Funds): Are valued at daily closing prices as reported by the fund. Mutual funds held by the plan are open-end mutual funds that are registered with the U.S. Securities and Exchange Commission. These funds are required to publish their daily net asset value and to transact at that price.

Pooled Separate Accounts: Units held in Pooled separate accounts (PSA) are valued using the net asset value practical expedient (NAV practical expedient) of the PSA, as reported by the account managers. The NAV practical expedient is based on the fair value of the underlying assets owned by the PSA, minus its liabilities, and then divided by the number of units outstanding.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 7 – Fair Value Measurement of Investments, continued

Common Collective Trusts: Units held in common/collective trusts are valued based on the plan's interest in the underlying investments that are held within the trust and which are traded in an active market by the trustee.

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 fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following table sets forth by level, within the fair value hierarchy, the Plan's assets at fair values as of December 31, 2021 and 2020.

Assets at Fair Value as of December 31, 2021

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Common Collective Trusts	\$ 1,822,580	\$ -	\$ -	\$ 1,822,580
Mutual Funds	<u>3,507,866</u>	<u>-</u>	<u>-</u>	<u>3,507,866</u>
Total investments at fair value	<u>\$ 5,330,446</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 5,330,446</u>

Assets at Fair Value as of December 31, 2020

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Pooled separate accounts	\$ <u>5,070,024</u>	\$ -	\$ -	\$ <u>5,070,024</u>
Total investments at fair value	<u>\$ 5,070,024</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 5,070,024</u>

For years ended December 31, 2021 and 2020, there was no significant transfers between Levels 1 and 2 and no transfers in or out of Level 3.

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note - 8 Reconciliation to Schedule H, Form 5500

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

	<u>2021</u>	<u>2020</u>
Net Assets available for benefits per the financial statements	\$ 5,758,853	\$ 5,236,871
Contract to fair value adjustment for guaranteed investment contracts per 5500	-	-
Excess contributions payable to participants	<u>10,403</u>	<u>25,265</u>
Net assets available for benefits per Schedule H, Form 5500	<u>\$ 5,769,256</u>	<u>\$ 5,262,136</u>

The following is a reconciliation of changes in net assets available for benefits per the financial statements and Schedule H, Form 5500 as of December 31:

	<u>2021</u>	<u>2020</u>
Net income (loss) per Schedule H, Form 5500	\$ 507,120	\$ (225,516)
Unrealized (gain) loss on assets held by guaranteed investment contracts at end of the year	-	(1,404)
Recognition of 2021 excess contributions paid to Participants in 2022 but accrued in 2021	(10,403)	-
Recognition of 2020 excess contributions paid to Participants in 2021, but accrued in 2020	<u>25,265</u>	<u>(25,265)</u>
Increase (decrease) in net assets available for benefits per financial statements	<u>\$ 521,982</u>	<u>\$ (252,185)</u>

HAWK CONSULTANTS, LLC
401 (K) SAVINGS PLAN
Notes to the Financial Statements
December 31, 2021 and 2020

Note 9 – Information Certified by Trustee

Voya Retirement Insurance and Annuity Company and Principal Life Insurance Company, the trustees at December 31, 2021 and 2020, respectively have certified the following information as complete and accurate, including investment assets, transactions and income and the schedules of investments and reportable transactions. Amounts are reported at contract value:

	2021	2020
Registered Investment Companies (Mutual Funds)	\$ 3,507,866	\$ -
Common Collective Trusts	1,822,580	-
Pooled separate accounts	-	5,070,024
Guaranteed interest contracts	<u>405,412</u>	<u>120,498</u>
Total plan investments	<u>\$ 5,735,858</u>	<u>\$ 5,190,522</u>

Note 10 – Plan Administrative Expenses

Plan expenses for commissions, investment and management fees of \$16,142 and \$5,440 for the years ended December 31, 2021 and 2020, respectively, were paid from Plan assets.

Note 11 – Concentration of Credit Risk

The Plan held \$405,412 and \$120,498 in 2021 and 2020, respectively, in guaranteed investment contracts issued by the custodian's affiliates, Voya Retirement Insurance and Annuity Company and Principal Life Insurance Company, respectively, collateralized by its general account investments, private market bonds, commercial mortgages and mortgage backed securities. Investments in pooled investment accounts managed by Principal also contain substantial investments in generally high quality debt instruments.

Note 12 – Period Subject to Major Tax Jurisdictions

In accordance with Accounting Standards Codification 740 -10 – 50 - 15, tax years 2017 through 2020 for the plan remain subject to examination by major tax jurisdictions.

Hawk Consultants, LLC
401(k) Savings Plan
Schedule H, line 4i -
Schedule of Assets
(Held at End of Year)
EIN 73-1725551
Plan 001
At December 31, 2021

(a) (b) Identity of issue, borrower, lessor or similar party	(c) Description of investments including maturity date, rate of interest, collateral, par, or maturity date	(d) Cost	(e) Current Value
AB Large Cap Grw Fnd Z	Registered Investment Company		\$ 412,128
AB Small Cap Grw Port Z	Registered Investment Company		8,017
American Funds New World R6	Registered Investment Company		65,106
Calv US Lg Cp Cr Rsp In F R6	Registered Investment Company		6,928
DFA Infl-Prot Sec Port Ins	Registered Investment Company		86,936
DFA Real Estate Secs Port Ins	Registered Investment Company		184,734
Fid US Bd Id Fd	Registered Investment Company		55,360
Fidelity 500 Index Fund	Registered Investment Company		728,802
Fidelity Ext Mkt Index Fund	Registered Investment Company		4,971
Fidelity Mid Cap Idx Fd	Registered Investment Company		210,613
Fidelity Sm Cp Ind Fd	Registered Investment Company		146,849
Franklin Sm Cap Value Fnd R6	Registered Investment Company		108,049
Hartfrd Dividnd & Grw Fnd R6	Registered Investment Company		238,530
MFS Intl Diversification Fd R6	Registered Investment Company		205,817
MFS Mid Cap Value Fund R6	Registered Investment Company		11,862
MyCompass Ind Agg 2025 Fd R	Common Collective Trust		1,594
MyCompass Ind Agg 2045 Fd R	Common Collective Trust		21,140
MyCompass Ind Agg 2055 Fd R	Common Collective Trust		33,758
MyCompass Ind Mod 2025 Fd R	Common Collective Trust		706,948
MyCompass Ind Mod 2035 Fd R	Common Collective Trust		380,508
MyCompass Ind Mod 2045 Fd R	Common Collective Trust		337,812
MyCompass Ind Mod 2055 Fd R	Common Collective Trust		83,004
MyCompass Ind Mod Ret Fd R	Common Collective Trust		257,816
PGIM High Yield Fund R6	Registered Investment Company		123,524
Vangrd Growth Index Fund Adm	Registered Investment Company		105,607
Vangrd Intl Grw Fnd Adm	Registered Investment Company		12,580
Vangrd Intl Value Fnd Inv	Registered Investment Company		38,014
Vangrd LifeStrat Cns Gr Fd Inv	Registered Investment Company		140,472
Vangrd LifeStrat Grw Fd Inv	Registered Investment Company		35,620
Vangrd LifeStrat Md Grw Fd Inv	Registered Investment Company		186,986
Virtus KAR Mid Cap Growth R6	Registered Investment Company		33,237
* Voya Fixed Account (4450)	Insurance Company General Account		405,412
* Voya Intermediate Bond Fund R6	Registered Investment Company		357,124
* Participant Loan Fund	Participant Loans - Rates 5.25% - 7.50%		<u>33,398</u>
Total Plan Assets			<u>\$ 5,769,256</u>

* Denotes party-in-interest.

Voya Retirement Insurance and Annuity Company acts as the custodian, investment advisor and third party administrator and is considered a party in interest.

Participants are also considered parties in interest.

Column (d) is not required as the Plan's investments are totally participant directed.

See independent auditor's report and notes to the financial statements.