

**Form 5500-SF**

Department of the Treasury  
Internal Revenue Service

Department of Labor  
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

**Short Form Annual Return/Report of Small Employee Benefit Plan**

This form is required to be filed 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-SF.**

OMB Nos. 1210-0110  
1210-0089

**2022**

**This Form is Open to Public Inspection**

**Part I Annual Report Identification Information**

For calendar plan year 2022 or fiscal plan year beginning 01/01/2022 and ending 12/31/2022

- A** This return/report is for:  a single-employer plan  a multiple-employer plan (not multiemployer) (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- 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** Check box if filing under:  Form 5558  automatic extension  DFVC program  
 special extension (enter description)
- D** If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. . . . . ▶

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

<b>1a</b> Name of plan RHODES SECURITIES, INC. 401(K) PROFIT SHARING PLAN		<b>1b</b> Three-digit plan number (PN) ▶	001
		<b>1c</b> Effective date of plan	05/01/1997
<b>2a</b> 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) RHODES SECURITIES, INC.  306 W. 7TH STREET, STE. 1000 FORT WORTH, TX 76102		<b>2b</b> Employer Identification Number (EIN)	75-2156987
		<b>2c</b> Sponsor's telephone number	817-334-0455
		<b>2d</b> Business code (see instructions)	523900
<b>3a</b> Plan administrator's name and address <input checked="" type="checkbox"/> Same as Plan Sponsor.		<b>3b</b> Administrator's EIN	
		<b>3c</b> Administrator's telephone number	
<b>4</b> 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. <b>a</b> Sponsor's name <b>c</b> Plan Name		<b>4b</b> EIN	
		<b>4d</b> PN	
<b>5a</b> Total number of participants at the beginning of the plan year.....		<b>5a</b>	8
<b>b</b> Total number of participants at the end of the plan year .....		<b>5b</b>	8
<b>c</b> Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) .....		<b>5c</b>	0
<b>d(1)</b> Total number of active participants at the beginning of the plan year .....		<b>5d(1)</b>	8
<b>d(2)</b> Total number of active participants at the end of the plan year.....		<b>5d(2)</b>	8
<b>e</b> Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested.....		<b>5e</b>	0

**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, if applicable, a Schedule SB or Schedule MB completed and signed by an enrolled actuary, 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.

<b>SIGN HERE</b>	Filed with authorized/valid electronic signature.	10/16/2023	JIM RHODES
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
<b>SIGN HERE</b>	Filed with authorized/valid electronic signature.	10/15/2023	JIM RHODES
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor

- 6a** Were all of the plan's assets during the plan year invested in eligible assets? (See instructions.) .....  Yes  No
- b** Are you claiming a waiver of the annual examination and report of an independent qualified public accountant (IQPA) under 29 CFR 2520.104-46? (See instructions on waiver eligibility and conditions.) .....  Yes  No
- If you answered "No" to either line 6a or line 6b, the plan cannot use Form 5500-SF and must instead use Form 5500.**
- c** If the plan is a defined benefit plan, is it covered under the PBGC insurance program (see ERISA section 4021)? .....  Yes  No  Not determined
- If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year \_\_\_\_\_ (See instructions.)

<b>Part III Financial Information</b>			
<b>7</b> Plan Assets and Liabilities		<b>(a) Beginning of Year</b>	<b>(b) End of Year</b>
<b>a</b> Total plan assets.....	<b>7a</b>	3457699	1516364
<b>b</b> Total plan liabilities.....	<b>7b</b>	0	0
<b>c</b> Net plan assets (subtract line 7b from line 7a).....	<b>7c</b>	3457699	1516364
<b>8</b> Income, Expenses, and Transfers for this Plan Year		<b>(a) Amount</b>	<b>(b) Total</b>
<b>a</b> Contributions received or receivable from:			
<b>(1)</b> Employers.....	<b>8a(1)</b>	40657	
<b>(2)</b> Participants.....	<b>8a(2)</b>	74722	
<b>(3)</b> Others (including rollovers).....	<b>8a(3)</b>	0	
<b>b</b> Other income (loss).....	<b>8b</b>	-449413	
<b>c</b> Total income (add lines 8a(1), 8a(2), 8a(3), and 8b).....	<b>8c</b>		-334034
<b>d</b> Benefits paid (including direct rollovers and insurance premiums to provide benefits).....	<b>8d</b>	1605788	
<b>e</b> Certain deemed and/or corrective distributions (see instructions).....	<b>8e</b>	0	
<b>f</b> Administrative service providers (salaries, fees, commissions).....	<b>8f</b>	1513	
<b>g</b> Other expenses.....	<b>8g</b>	0	
<b>h</b> Total expenses (add lines 8d, 8e, 8f, and 8g).....	<b>8h</b>		1607301
<b>i</b> Net income (loss) (subtract line 8h from line 8c).....	<b>8i</b>		-1941335
<b>j</b> Transfers to (from) the plan (see instructions).....	<b>8j</b>	0	

<b>Part IV Plan Characteristics</b>	
<b>9a</b> If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristic Codes in the instructions: 2E 2G 2J 2K 2R 3D	
<b>b</b> If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristic Codes in the instructions:	

<b>Part V Compliance Questions</b>				
<b>10</b> During the plan year:		<b>Yes</b>	<b>No</b>	<b>Amount</b>
<b>a</b> Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? (See instructions and DOL's Voluntary Fiduciary Correction Program).....	<b>10a</b>		X	
<b>b</b> Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 10a.).....	<b>10b</b>		X	
<b>c</b> Was the plan covered by a fidelity bond?.....	<b>10c</b>	X		500000
<b>d</b> Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?.....	<b>10d</b>		X	
<b>e</b> Were any fees or commissions paid to any brokers, agents, or other persons by an insurance carrier, insurance service, or other organization that provides some or all of the benefits under the plan? (See instructions.).....	<b>10e</b>		X	
<b>f</b> Has the plan failed to provide any benefit when due under the plan?.....	<b>10f</b>		X	
<b>g</b> Did the plan have any participant loans? (If "Yes," enter amount as of year-end.).....	<b>10g</b>	X		556
<b>h</b> If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.).....	<b>10h</b>		X	
<b>i</b> If 10h was answered "Yes," check the box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.....	<b>10i</b>			

**Part VI Pension Funding Compliance**

**11** Is this a defined benefit plan subject to minimum funding requirements? (If "Yes," see instructions and complete Schedule SB (Form 5500) and lines 11a and b below.) If this is a defined contribution pension plan, leave line 11 blank and complete line 12 below.  Yes  No

**a** Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40..... **11a**

**b PBGC missed contribution reporting requirements.** If the plan is covered by PBGC and the amount reported on line 11a is greater than \$0, 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 \_\_\_\_\_

**12** Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code or section 302 of ERISA? .....  Yes  No  
 (If "Yes," complete line 12a or lines 12b, 12c, 12d, and 12e below, as applicable.) If this is a defined benefit pension plan, leave line 12 blank and complete line 11 above.

**a** 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 letter ruling granting the waiver. ....Month Day Year

**If you completed line 12a, complete lines 3, 9, and 10 of Schedule MB (Form 5500), and skip to line 13.**

**b** Enter the minimum required contribution for this plan year ..... **12b**

**c** Enter the amount contributed by the employer to the plan for this plan year ..... **12c**

**d** Subtract the amount in line 12c from the amount in line 12b. Enter the result (enter a minus sign to the left of a negative amount) ..... **12d**

**e** Will the minimum funding amount reported on line 12d be met by the funding deadline?.....  Yes  No  N/A

**Part VII Plan Terminations and Transfers of Assets**

**13a** Has a resolution to terminate the plan been adopted in any plan year? .....  Yes  No

If "Yes," enter the amount of any plan assets that reverted to the employer this year..... **13a**

**b** Were all the plan assets distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?.....  Yes  No

**c** 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.)

<b>13c(1)</b> Name of plan(s):	<b>13c(2)</b> EIN(s)	<b>13c(3)</b> PN(s)

**Form 5500-EZ**

**Annual Return of A One-Participant (Owners/Partners and Their Spouses) Retirement Plan or A Foreign Plan**

OMB No. 1545-1610

**2022**

Department of the Treasury  
Internal Revenue Service

This form is required to be filed under section 6058(a) of the Internal Revenue Code. Certain foreign retirement plans are also required to file this form (see instructions).  
 ▶ **Complete all entries in accordance with the instructions to the Form 5500-EZ.**  
 ▶ **Go to [www.irs.gov/Form5500EZ](http://www.irs.gov/Form5500EZ) for instructions and the latest information.**

This Form is Open  
to Public Inspection.

**Part I Annual Return Identification Information**

For the calendar plan year 2022 or fiscal plan year beginning (MM/DD/YYYY) 01/01/2022 and ending 12/31/2022

- A** This return is: (1)  the first return filed for the plan; (3)  the final return filed for the plan;  
 (2)  an amended return; (4)  a short plan year return (less than 12 months)
- B** Check box if filing under  Form 5558  automatic extension  
 special extension (enter description) \_\_\_\_\_
- C** If this return is for a foreign plan, check this box (see instructions) . . . . .
- D** If this return is for the IRS Late Filer Penalty Relief Program, check this box (Must be filed on a paper Form with the IRS. See instructions) . . . . .
- 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.**

<b>1a</b> Name of plan RECRUITING SOLUTIONS INC 401(K) PLAN		<b>1b</b> Three-digit plan number (PN) ▶	001
		<b>1c</b> Date plan first became effective (MM/DD/YYYY)	07/03/2012
<b>2a</b> Employer's name RECRUITING SOLUTIONS INC		<b>2b</b> Employer Identification Number (EIN) (Do not enter your Social Security Number) 45-5634856	
Trade name of business (if different from name of employer)		<b>2c</b> Employer's telephone number (860) 358-9229	
In care of name		<b>2d</b> Business code (see instructions) 541600	
Mailing address (room, apt., suite no. and street, or P.O. box) 18 Pasture Trail			
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) Wethersfield CT 06109			
<b>3a</b> Plan administrator's name (If same as employer, enter "Same") Same		<b>3b</b> Administrator's EIN	
In care of name		<b>3c</b> Administrator's telephone number	
Mailing address (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)			
<b>4</b> If the employer's name, the employer's EIN, and/or the plan name has changed since the last return filed for this plan, enter the employer's name and EIN, the plan name, and the plan number for the last return in the appropriate space provided.			
<b>a</b> Employer's name		<b>4b</b> EIN	
<b>4c</b> Plan name		<b>4d</b> PN	
<b>5a(1)</b> Total number of participants at the beginning of the plan year . . . . .		<b>5a(1)</b>	2
<b>a(2)</b> Total number of active participants at the beginning of the plan year . . . . .		<b>5a(2)</b>	2
<b>b(1)</b> Total number of participants at the end of the plan year . . . . .		<b>5b(1)</b>	1
<b>b(2)</b> Total number of active participants at the end of the plan year . . . . .		<b>5b(2)</b>	1
<b>c</b> Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested . . . . .		<b>5c</b>	0

**Part III Financial Information**

	(1) Beginning of year	(2) End of year
<b>6a</b> Total plan assets . . . . .	<b>6a</b> 629,026	402,930
<b>b</b> Total plan liabilities . . . . .	<b>6b</b> 0	0
<b>c</b> Net plan assets (subtract line 6b from 6a . . . . .	<b>6c</b> 629,026	402,930

**Part III (Continued)**

		<b>Amount</b>
<b>7</b> Contributions received or receivable from:		
<b>a</b> Employers . . . . .	<b>7a</b>	21,150
<b>b</b> Participants . . . . .	<b>7b</b>	27,000
<b>c</b> Others (including rollovers) . . . . .	<b>7c</b>	-56,590

**Part IV Plan Characteristics**

**8** Enter the applicable two-character feature codes from the List of Plan Characteristics Codes in the instructions.  
 2E          2J          2K          2R          3D

**Part V Compliance and Funding Questions**

		Yes	No	<b>Amount</b>
<b>9</b> During the plan year, did the plan have any participant loans? If "Yes," enter amount as of year end . . . . .	<b>9</b>		X	
<b>10</b> Is this a defined benefit plan that is subject to minimum funding requirements? If "Yes," complete Schedule SB (Form 5500) and line 10a below. (See instructions.)	<b>10</b>		X	
<b>a</b> Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500), line 40 . . . . .				<b>10a</b>
<b>11</b> Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code? . . . . .	<b>11</b>		X	
If "Yes," complete lines 11a or 11b, 11c, 11d, and 11e below, as applicable.				
<b>a</b> If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, enter the month, day, and year (MM/DD/YYYY) of the letter ruling granting the waiver (see instructions) . . . . .				<b>11a</b>
<b>b</b> Enter the minimum required contribution for this plan year . . . . .				<b>11b</b>
<b>c</b> Enter the amount contributed by the employer to the plan for this plan year . . . . .				<b>11c</b>
<b>d</b> Subtract the amount in line 11c from the amount in line 11b. Enter the result (enter a minus sign to the left of a negative amount) . . . . .				<b>11d</b>
<b>e</b> Will the minimum funding amount reported on line 11d be met by the funding deadline? . . . . .	<b>11e</b>	Yes	No	N/A

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

Under penalties of perjury, I declare that I have examined this return including, if applicable, any related Schedule MB (Form 5500) or Schedule SB (Form 5500) signed by an enrolled actuary, and, to the best of my knowledge and belief, it is true, correct, and complete.

**Sign Here** ▶

\_\_\_\_\_  
Signature of employer or plan administrator

\_\_\_\_\_  
Date

Jeffrey Schneider  
Type or print name of individual signing as employer or plan administrator