



ASC COMPLIANCE REPORTS

Top Heavy Illustration Determination Date: December 31, 2017

<u>Participant Name</u>	<u>SS Number</u>	<u>Top Heavy Balance</u>	<u>Key Employees</u>	<u>Non-Key Employees</u>
CUNNINGHAM	xxx-xx-3232	33,467.88	33,467.88	
CUNNINGHAM-JR	xxx-xx-5555	3,000.00	3,000.00	
BULLIT	xxx-xx-2222	10.00		10.00
D'AMBRO	xxx-xx-3333	3,503.42		3,503.42
FERRARA	xxx-xx-6666	5,261.95		5,261.95
FRANKEL	xxx-xx-7777	10,684.14		10,684.14
GILLAN	xxx-xx-8888	6,182.89		6,182.89
GREGO	xxx-xx-9999	15,219.11		15,219.11
GUIDRY	xxx-xx-0101	5,394.88		5,394.88
HANDY	xxx-xx-6789	17,139.87		17,139.87
HART	xxx-xx-5432	8,971.72		8,971.72
HYDE	xxx-xx-4545	45,736.87		45,736.87
ISE	xxx-xx-1111	37,516.88		37,516.88
JOHNSON	xxx-xx-7532	6,762.09		6,762.09
KIMM	xxx-xx-5421	23,646.14		23,646.14
KOPF	xxx-xx-2222	1,285.70		1,285.70
MARTIN	xxx-xx-4646	7,534.43		7,534.43
MEUNIR	xxx-xx-4444	3,441.13		3,441.13
SMITH	xxx-xx-6969	2,573.32		2,573.32
SMITTY	xxx-xx-7777	19,154.56		19,154.56
Sub-total		256,486.98	36,467.88	220,019.10
Count			2	18
<u>Distributions</u>				
One Year Prior		950.00	0.00	950.00
Two Years Prior		150.00	0.00	150.00
Three Years Prior		8,200.00	7,000.00	1,200.00
Sub-total		9,300.00	7,000.00	2,300.00
Total		265,786.98	43,467.88	222,319.10

The total value of the key employees' account balances is 16.3544% of the total value of account balances for all participants.

If the total of all the key employees' account balances is greater than 60% of the total account balances for all participants, the plan is top heavy.



ASC COMPLIANCE REPORTS

Top-Heavy Compliance Report Valuation Date: December 31, 2017

<u>Participant Name</u>	<u>Social Security Number</u>	<u>Compensation for Top-Heavy</u>	<u>Required Top-heavy Contribution</u>	<u>Actual Contribution</u>	<u>Additional Top-heavy Contribution</u>
BULLIT	xxx-xx-2222	Inelig			
CUNNINGHAM	xxx-xx-3232	Key EE			
CUNNINGHAM-JR	xxx-xx-5555	Key EE			
D'AMBRO	xxx-xx-3333	34,356.00	1,030.68	1,030.68	0.00
FERRARA	xxx-xx-6666	45,895.00	1,376.85	1,400.00	0.00
FRANKEL	xxx-xx-7777	112,019.00	3,360.57	3,300.57	60.00
GILLAN	xxx-xx-8888	94,429.00	2,832.87	2,772.87	60.00
GREGO	xxx-xx-9999	99,647.00	2,989.41	2,854.41	135.00
GUIDRY	xxx-xx-0101	Inelig			
HANDY	xxx-xx-6789	81,750.00	2,452.50	2,452.50	0.00
HART	xxx-xx-5432	53,066.00	1,591.98	1,591.98	0.00
HYDE	xxx-xx-4545	200,000.00	6,000.00	6,000.00	0.00
ISE	xxx-xx-1111	210,000.00	6,300.00	6,300.00	0.00
JOHNSON	xxx-xx-7532	Inelig			
KIMM	xxx-xx-5421	135,000.00	4,050.00	3,900.00	150.00
KOPF	xxx-xx-2222	Inelig			
MARTIN	xxx-xx-4646	37,200.00	1,116.00	1,116.00	0.00
MEUNIR	xxx-xx-4444	51,442.00	1,543.26	1,500.00	43.26
QUINN	xxx-xx-7563	Inelig			
SMITH	xxx-xx-6969	38,469.00	1,154.07	1,000.00	154.07
SMITTY	xxx-xx-7777	92,686.00	2,780.58	2,711.58	69.00
Total Top-heavy Deficit:					671.33



ASC COMPLIANCE REPORTS

Match Formula Verification Report
Plan Period January 1, 2017 Through December 31, 2017

<u>SSN</u>	<u>Participant Name</u>	<u>Match Band</u>	<u>Compensation</u>	<u>Matched Contribs</u>	<u>Matched Percent</u>	<u>Actual Match</u>	<u>Formula Match</u>	<u>Dollar Difference</u>	<u>Percent Difference</u>	<u>Earnings On Difference</u>
xxx-xx-2222	BULLIT	1	540.00	0.00	0.00	0.00	0.00	0.00	0.00	N/A
xxx-xx-3232	CUNNINGHAM	1	270,000.00	24,000.00	8.89	7,950.00	8,100.00	-150.00	-0.06	N/A
xxx-xx-5555	CUNNINGHAM-JR	1	50,000.00	10,000.00	20.00	500.00	1,500.00	-1,000.00	-2.00	N/A
xxx-xx-3333	D'AMBRO	1	34,356.00	482.09	1.40	482.09	482.09	0.00	0.00	N/A
xxx-xx-6666	FERRARA	1	45,895.00	876.75	1.91	876.75	876.75	0.00	0.00	N/A
xxx-xx-7777	FRANKEL	1	110,019.00	4,812.00	4.37	3,300.57	3,300.57	0.00	0.00	N/A
xxx-xx-8888	GILLAN	1	92,429.00	0.00	0.00	0.00	0.00	0.00	0.00	N/A
xxx-xx-9999	GREGO	1	95,147.00	4,000.00	4.20	2,500.00	2,854.41	-354.41	-0.37	N/A
xxx-xx-0101	GUIDRY	0	80,649.00	0.00	0.00	0.00	0.00	0.00	0.00	N/A
xxx-xx-6789	HANDY	1	81,750.00	7,175.09	8.78	2,452.50	2,452.50	0.00	0.00	N/A
xxx-xx-5432	HART	1	53,066.00	2,553.32	4.81	1,591.98	1,591.98	0.00	0.00	N/A
xxx-xx-4545	HYDE	1	200,000.00	20,000.00	10.00	6,000.00	6,000.00	0.00	0.00	N/A
xxx-xx-1111	ISE	1	210,000.00	19,000.00	9.05	6,000.00	6,300.00	-300.00	-0.14	N/A
xxx-xx-7532	JOHNSON	1	69,132.00	4,688.13	6.78	2,000.00	2,073.96	-73.96	-0.11	N/A
xxx-xx-5421	KIMM	1	130,000.00	9,100.00	7.00	3,900.00	3,900.00	0.00	0.00	N/A
xxx-xx-2222	KOPF	0	34,849.00	0.00	0.00	0.00	0.00	0.00	0.00	N/A
xxx-xx-4646	MARTIN	1	37,200.00	3,000.00	8.06	1,116.00	1,116.00	0.00	0.00	N/A
xxx-xx-4444	MEUNIR	1	51,442.00	18,500.00	35.96	0.00	1,543.26	-1,543.26	-3.00	N/A
xxx-xx-7563	QUINN	0	7,815.00	0.00	0.00	0.00	0.00	0.00	0.00	N/A
xxx-xx-6969	SMITH	1	38,469.00	0.00	0.00	0.00	0.00	0.00	0.00	N/A
xxx-xx-7777	SMITTY	1	90,386.00	8,137.11	9.00	2,711.58	2,711.58	0.00	0.00	N/A
Totals			1,783,144.00	136,324.49	N/A	41,381.47	44,803.10	-3,421.63	N/A	0.00



ASC COMPLIANCE REPORTS

Employer Contribution Formula Verification Report
Plan Period January 1, 2017 Through December 31, 2017

Source 2: 3.00% of Pay

<u>SSN</u>	<u>Participant Name</u>	<u>Source</u>	<u>Compensation</u>	<u>Actual Contribution</u>	<u>Formula Contribution</u>	<u>Dollar Difference</u>	<u>Percent Difference</u>	<u>Earnings On Difference</u>
xxx-xx-3232	CUNNINGHAM	2	270,000.00	18,900.00	8,100.00	10,800.00	4.00	0.00
xxx-xx-5555	CUNNINGHAM-JR	2	50,000.00	500.00	1,500.00	-1,000.00	-2.00	N/A
xxx-xx-6666	FERRARA	2	45,895.00	1,400.00	1,376.85	23.15	0.05	0.00
xxx-xx-4444	MEUNIR	2	51,442.00	1,500.00	1,543.26	-43.26	-0.08	N/A
xxx-xx-6969	SMITH	2	38,469.00	1,000.00	1,154.07	-154.07	-0.40	N/A
Totals			455,806.00	23,300.00	13,674.18	9,625.82	N/A	0.00



ASC COMPLIANCE REPORTS
414(s) Nondiscrimination Compensation Test
As of December 31, 2017
Highly Compensated Employees

<u>SSN</u>	<u>Participant Name</u>	<u>(B) Total Compensation</u>	<u>(C) Excluded Compensation</u>	<u>(D) Plan Compensation</u>	<u>(E) Ratio D/B</u>
xxx-xx-3232	CUNNINGHAM	270,000.00	0.00	270,000.00	100.00%
xxx-xx-5555	CUNNINGHAM-JR	50,000.00	0.00	50,000.00	100.00%
xxx-xx-7777	FRANKEL	112,019.00	2,000.00	110,019.00	98.21%
xxx-xx-4545	HYDE	200,000.00	0.00	200,000.00	100.00%
xxx-xx-1111	ISE	210,000.00	0.00	210,000.00	100.00%
xxx-xx-5421	KIMM	135,000.00	5,000.00	130,000.00	96.30%
	HCE Totals (6)	977,019.00	7,000.00	970,019.00	594.51%
		HCE Average of Column (E):			99.09%



ASC COMPLIANCE REPORTS
414(s) Nondiscrimination Compensation Test
As of December 31, 2017
Non-Highly Compensated Employees

<u>SSN</u>	<u>Participant Name</u>	<u>(B) Total Compensation</u>	<u>(C) Excluded Compensation</u>	<u>(D) Plan Compensation</u>	<u>(E) Ratio D/B</u>
xxx-xx-2222	BULLIT	540.00	0.00	540.00	100.00%
xxx-xx-3333	D'AMBRO	34,356.00	0.00	34,356.00	100.00%
xxx-xx-6666	FERRARA	45,895.00	0.00	45,895.00	100.00%
xxx-xx-8888	GILLAN	94,429.00	2,000.00	92,429.00	97.88%
xxx-xx-9999	GREGO	99,647.00	4,500.00	95,147.00	95.48%
xxx-xx-6789	HANDY	81,750.00	0.00	81,750.00	100.00%
xxx-xx-5432	HART	53,066.00	0.00	53,066.00	100.00%
xxx-xx-7532	JOHNSON	69,132.00	0.00	69,132.00	100.00%
xxx-xx-4646	MARTIN	37,200.00	0.00	37,200.00	100.00%
xxx-xx-4444	MEUNIR	51,442.00	0.00	51,442.00	100.00%
xxx-xx-6969	SMITH	38,469.00	0.00	38,469.00	100.00%
xxx-xx-7777	SMITTY	92,686.00	2,300.00	90,386.00	97.52%
	Non-HCE Totals (12)	698,612.00	8,800.00	689,812.00	1,190.88%
		Non-HCE Average of Column (E):			99.24%
	Grand Totals	1,675,631.00	15,800.00	1,659,831.00	
		Ratio of Non-HCEs to HCEs:			100.15%



ASC COMPLIANCE REPORTS

410(b) Ratio Percentage Test
 401(k) Deferral Version Support Page
 For the Plan Year Ending December 31, 2017

SSN	Employee Name	Age/Svc	Excludable Because			Hours	Non-Excludable EEs		HCE
			Union	Alien	Other		Benefit	Don't Benefit	
xxx-xx-2222	BULLIT	-	-	-	-	-	X	-	-
xxx-xx-3232	CUNNINGHAM	-	-	-	-	-	X	-	X
xxx-xx-5555	CUNNINGHAM-JR	-	-	-	-	-	X	-	X
xxx-xx-3333	D'AMBRO	-	-	-	-	-	X	-	-
xxx-xx-6666	FERRARA	-	-	-	-	-	X	-	-
xxx-xx-7777	FRANKEL	-	-	-	-	-	X	-	X
xxx-xx-8888	GILLAN	-	-	-	-	-	X	-	-
xxx-xx-9999	GREGO	-	-	-	-	-	X	-	-
xxx-xx-0101	GUIDRY	-	-	-	-	-	-	X	-
xxx-xx-6789	HANDY	-	-	-	-	-	X	-	-
xxx-xx-5432	HART	-	-	-	-	-	X	-	-
xxx-xx-4545	HYDE	-	-	-	-	-	X	-	X
xxx-xx-1111	ISE	-	-	-	-	-	X	-	X
xxx-xx-7532	JOHNSON	-	-	-	-	-	X	-	-
xxx-xx-5421	KIMM	-	-	-	-	-	X	-	X
xxx-xx-2222	KOPF	X	-	-	-	-	-	-	-
xxx-xx-4646	MARTIN	-	-	-	-	-	X	-	-
xxx-xx-4444	MEUNIR	-	-	-	-	-	X	-	-
xxx-xx-7563	QUINN	-	-	-	-	-	-	X	-
xxx-xx-6969	SMITH	-	-	-	-	-	X	-	-
xxx-xx-7777	SMITTY	-	-	-	-	-	X	-	-
	Totals	1	0	0	0	0	18	2	6



ASC COMPLIANCE REPORTS

410(b) Ratio Percentage Test
401(k) Deferral Version
For the Plan Year Ending December 31, 2017

Total number of employees of the employer:	21
Excludable because of:	
(1) Minimum age or years of service	1
(2) Collective bargaining agreement	0
(3) Non-resident aliens	0
(4) Excludable employees	0
(5) Terms with 500 or less hours of service	0
Total excludable employees:	1
Total non-excludable employees:	20
Total non-excludable employees who are highly compensated:	6
Total benefitting employees who are highly compensated:	6
Percentage of highly compensated employees who benefit:	100.00%
Total non-excludable employees who are non-highly compensated:	14
Total benefitting employees who are non-highly compensated:	12
Percentage of non-highly compensated employees who benefit:	85.71%
Ratio Percentage:	85.71%

This plan passes 410(b) under the Ratio Percentage Test.



ASC COMPLIANCE REPORTS

410(b) Ratio Percentage Test
Employer Matching Version Support Page
For the Plan Year Ending December 31, 2017

SSN	Employee Name	Age/Svc	Excludable Because			Hours	Non-Excludable EEs		HCE
			Union	Alien	Other		Benefit	Don't Benefit	
xxx-xx-2222	BULLIT	-	-	-	-	-	X	-	-
xxx-xx-3232	CUNNINGHAM	-	-	-	-	-	X	-	X
xxx-xx-5555	CUNNINGHAM-JR	-	-	-	-	-	X	-	X
xxx-xx-3333	D'AMBRO	-	-	-	-	-	X	-	-
xxx-xx-6666	FERRARA	-	-	-	-	-	X	-	-
xxx-xx-7777	FRANKEL	-	-	-	-	-	X	-	X
xxx-xx-8888	GILLAN	-	-	-	-	-	X	-	-
xxx-xx-9999	GREGO	-	-	-	-	-	X	-	-
xxx-xx-0101	GUIDRY	-	-	-	-	-	-	X	-
xxx-xx-6789	HANDY	-	-	-	-	-	X	-	-
xxx-xx-5432	HART	-	-	-	-	-	X	-	-
xxx-xx-4545	HYDE	-	-	-	-	-	X	-	X
xxx-xx-1111	ISE	-	-	-	-	-	X	-	X
xxx-xx-7532	JOHNSON	-	-	-	-	-	X	-	-
xxx-xx-5421	KIMM	-	-	-	-	-	X	-	X
xxx-xx-2222	KOPF	X	-	-	-	-	-	-	-
xxx-xx-4646	MARTIN	-	-	-	-	-	X	-	-
xxx-xx-4444	MEUNIR	-	-	-	-	-	X	-	-
xxx-xx-7563	QUINN	-	-	-	-	-	-	X	-
xxx-xx-6969	SMITH	-	-	-	-	-	X	-	-
xxx-xx-7777	SMITTY	-	-	-	-	-	X	-	-
	Totals	1	0	0	0	0	18	2	6



ASC COMPLIANCE REPORTS

410(b) Ratio Percentage Test Employer Matching Version For the Plan Year Ending December 31, 2017

Total number of employees of the employer:	21
Excludable because of:	
(1) Minimum age or years of service	1
(2) Collective bargaining agreement	0
(3) Non-resident aliens	0
(4) Excludable employees	0
(5) Terms with 500 or less hours of service	0
Total excludable employees:	1
Total non-excludable employees:	20
Total non-excludable employees who are highly compensated:	6
Total benefitting employees who are highly compensated:	6
Percentage of highly compensated employees who benefit:	100.00%
Total non-excludable employees who are non-highly compensated:	14
Total benefitting employees who are non-highly compensated:	12
Percentage of non-highly compensated employees who benefit:	85.71%
Ratio Percentage:	85.71%

This plan passes 410(b) under the Ratio Percentage Test.



ASC COMPLIANCE REPORTS

410(b) Ratio Percentage Test
Standard Test Version Support Page
For the Plan Year Ending December 31, 2017

SSN	Employee Name	Age/Svc	Excludable Because			Hours	Non-Excludable EEs		HCE
			Union	Alien	Other		Benefit	Don't Benefit	
xxx-xx-2222	BULLIT	-	-	-	-	-	-	X	-
xxx-xx-3232	CUNNINGHAM	-	-	-	-	-	X	-	X
xxx-xx-5555	CUNNINGHAM-JR	-	-	-	-	-	X	-	X
xxx-xx-3333	D'AMBRO	-	-	-	-	-	X	-	-
xxx-xx-6666	FERRARA	-	-	-	-	-	X	-	-
xxx-xx-7777	FRANKEL	-	-	-	-	-	X	-	X
xxx-xx-8888	GILLAN	-	-	-	-	-	X	-	-
xxx-xx-9999	GREGO	-	-	-	-	-	X	-	-
xxx-xx-0101	GUIDRY	-	-	-	-	-	-	X	-
xxx-xx-6789	HANDY	-	-	-	-	-	X	-	-
xxx-xx-5432	HART	-	-	-	-	-	X	-	-
xxx-xx-4545	HYDE	-	-	-	-	-	X	-	X
xxx-xx-1111	ISE	-	-	-	-	-	X	-	X
xxx-xx-7532	JOHNSON	-	-	-	-	-	-	X	-
xxx-xx-5421	KIMM	-	-	-	-	-	X	-	X
xxx-xx-2222	KOPF	X	-	-	-	-	-	-	-
xxx-xx-4646	MARTIN	-	-	-	-	-	X	-	-
xxx-xx-4444	MEUNIR	-	-	-	-	-	X	-	-
xxx-xx-7563	QUINN	-	-	-	-	-	-	X	-
xxx-xx-6969	SMITH	-	-	-	-	-	X	-	-
xxx-xx-7777	SMITTY	-	-	-	-	-	X	-	-
	Totals	1	0	0	0	0	16	4	6



ASC COMPLIANCE REPORTS

410(b) Ratio Percentage Test
Standard Test Version
For the Plan Year Ending December 31, 2017

Total number of employees of the employer:	21
Excludable because of:	
(1) Minimum age or years of service	1
(2) Collective bargaining agreement	0
(3) Non-resident aliens	0
(4) Excludable employees	0
(5) Terms with 500 or less hours of service	0
Total excludable employees:	1
Total non-excludable employees:	20
Total non-excludable employees who are highly compensated:	6
Total benefitting employees who are highly compensated:	6
Percentage of highly compensated employees who benefit:	100.00%
Total non-excludable employees who are non-highly compensated:	14
Total benefitting employees who are non-highly compensated:	10
Percentage of non-highly compensated employees who benefit:	71.43%
Ratio Percentage:	71.43%

This plan passes 410(b) under the Ratio Percentage Test.



ASC COMPLIANCE REPORTS

Allocation Rates - Minimum Allocation Gateway
For the Plan Year ending December 31, 2017

<u>SSN</u>	<u>Name</u>	<u>H C E</u>	<u>5% Threshold Rate</u>	<u>1/3 Threshold Rate</u>
xxx-xx-3232	CUNNINGHAM	Y	7.00%	7.00%
xxx-xx-5555	CUNNINGHAM-JR	Y	1.00%	1.00%
xxx-xx-7777	FRANKEL	Y	2.95%	3.00%
xxx-xx-4545	HYDE	Y	3.00%	3.00%
xxx-xx-1111	ISE	Y	3.00%	3.00%
xxx-xx-5421	KIMM	Y	2.89%	3.00%
xxx-xx-2222	BULLIT	N	N/A	N/A
xxx-xx-3333	D'AMBRO	N	3.00%	3.00%
xxx-xx-6666	FERRARA	N	3.05%	3.05%
xxx-xx-8888	GILLAN	N	2.94%	3.00%
xxx-xx-9999	GREGO	N	2.86%	3.00%
xxx-xx-0101	GUIDRY	N	N/A	N/A
xxx-xx-6789	HANDY	N	3.00%	3.00%
xxx-xx-5432	HART	N	3.00%	3.00%
xxx-xx-7532	JOHNSON	N	N/A	N/A
xxx-xx-4646	MARTIN	N	3.00%	3.00%
xxx-xx-4444	MEUNIR	N	2.92%	2.92%
xxx-xx-7563	QUINN	N	N/A	N/A
xxx-xx-6969	SMITH	N	2.60%	2.60%
xxx-xx-7777	SMITTY	N	2.93%	3.00%
	Highest HCE Rate		7.00%	7.00%
	Minimum NHCE Rate Needed to Pass		5.00%	2.34%
	Lowest NHCE Rate		2.60%	2.60%
	Minimum Allocation Gateway Test:		Fail	Pass



ASC COMPLIANCE REPORTS

Annual Accrual Rates using Current Compensation
For the Plan Year ending December 31, 2017

<u>SSN</u>	<u>Name</u>	<u>H C E</u>	<u>Conc Test Elig</u>	<u>ABT Rate</u>	<u>ABPT Rate</u>
xxx-xx-3232	CUNNINGHAM	Y	Y	1.00%	3.22%
xxx-xx-5555	CUNNINGHAM-JR	Y	Y	0.70%	15.35%
xxx-xx-7777	FRANKEL	Y	Y	0.60%	2.09%
xxx-xx-4545	HYDE	Y	Y	1.09%	5.81%
xxx-xx-1111	ISE	Y	Y	0.42%	2.07%
xxx-xx-5421	KIMM	Y	Y	0.38%	1.65%
xxx-xx-2222	BULLIT	N	Y	0.00%	0.00%
xxx-xx-3333	D'AMBRO	N	Y	1.64%	3.17%
xxx-xx-6666	FERRARA	N	Y	1.96%	4.42%
xxx-xx-8888	GILLAN	N	Y	1.89%	1.89%
xxx-xx-9999	GREGO	N	Y	0.96%	3.14%
xxx-xx-0101	GUIDRY	N	Y	0.00%	0.00%
xxx-xx-6789	HANDY	N	Y	1.28%	6.32%
xxx-xx-5432	HART	N	Y	0.41%	1.48%
xxx-xx-7532	JOHNSON	N	Y	0.00%	4.14%
xxx-xx-4646	MARTIN	N	Y	0.57%	2.66%
xxx-xx-4444	MEUNIR	N	Y	0.48%	6.36%
xxx-xx-7563	QUINN	N	Y	0.00%	0.00%
xxx-xx-6969	SMITH	N	Y	1.19%	1.19%
xxx-xx-7777	SMITTY	N	Y	0.98%	4.90%
Total HCEs				6	6
100% HCE Average				0.70%	5.03%
70% HCE Average				0.49%	3.52%
Total NHCEs				14	14
100% NHCE Average				0.81%	2.83%
Average Benefit Percentage Test:					Fail
(To pass the ABPT, the "100% NHCE Average" must be greater than or equal to the "70% HCE Average")					
Number of HCEs for Concentration Test:				6	
Number of NHCEs for Concentration Test:				14	
Concentration Percentage:				70.00%	
Safe Harbor Ratio:				42.50%	
Midpoint Ratio:				37.50%	
Unsafe Harbor Ratio:				32.50%	



ASC COMPLIANCE REPORTS

General Test - Accrual Rates Annual Accrual (Current Comp)

<u>Normal Rate</u>	<u>Most Valuable Rate</u>	<u>HCEs</u>	<u>NHCEs</u>	<u>HCE %</u>	<u>NHCE %</u>	<u>Ratio</u>	<u>70% HCE Average Rate</u>	<u>NHCE Average Rate</u>
0.38%	0.38%	6	10	100.00%	71.43%	71.43%	N/A	N/A
0.42%	0.42%	5	9	83.33%	64.29%	77.14%	N/A	N/A
0.60%	0.60%	4	7	66.67%	50.00%	75.00%	N/A	N/A
0.70%	0.70%	3	7	50.00%	50.00%	100.00%	N/A	N/A
1.00%	1.00%	2	5	33.33%	35.71%	107.14%	N/A	N/A
1.09%	1.09%	1	5	16.67%	35.71%	214.29%	N/A	N/A
Average Benefit Percentage Test:							N/A	N/A
Number of HCEs for Concentration Test:				6				
Number of NHCEs for Concentration Test:				14				
Concentration Percentage:				70.00%				
Safe Harbor Ratio:				42.50%				
Midpoint Ratio:				37.50%				
Unsafe Harbor Ratio:				32.50%				
Total Highly Compensated Employees				6				
Total Non-highly Compensated Employees				14				

This plan passes 401(a)(4).



ASC COMPLIANCE REPORTS

Benefits, Rights and Features Test
Support Page

For the Plan Year Ending December 31, 2017

SSN	Employee Name	Excluded from Count		Excludable Because			Hours	Non-Excludable EEs		HCE	Location Coded
		Term<BOY	Hire>EOY	Age/Svc	Union	Alien		Other	Benefit		
xxx-xx-2222	BULLIT	-	-	-	-	-	-	X	-	-	1
xxx-xx-3232	CUNNINGHAM	-	-	-	-	-	-	X	-	X	1
xxx-xx-5555	CUNNINGHAM-JR	-	-	-	-	-	-	X	-	X	2
xxx-xx-3333	D'AMBRO	-	-	-	-	-	-	X	-	-	1
xxx-xx-6666	FERRARA	-	-	-	-	-	-	X	-	-	1
xxx-xx-7777	FRANKEL	-	-	-	-	-	-	X	-	X	3
xxx-xx-8888	GILLAN	-	-	-	-	-	-	X	-	-	2
xxx-xx-9999	GREGO	-	-	-	-	-	-	X	-	-	2
xxx-xx-0101	GUIDRY	-	-	-	-	-	-	-	X	-	2
xxx-xx-6789	HANDY	-	-	-	-	-	-	X	-	-	2
xxx-xx-5432	HART	-	-	-	-	-	-	X	-	-	2
xxx-xx-4545	HYDE	-	-	-	-	-	-	X	-	X	2
xxx-xx-1111	ISE	-	-	-	-	-	-	X	-	X	3
xxx-xx-7532	JOHNSON	-	-	-	-	-	-	X	-	-	3
xxx-xx-5421	KIMM	-	-	-	-	-	-	X	-	X	3
xxx-xx-2222	KOPF	-	-	X	-	-	-	-	-	-	3
xxx-xx-4646	MARTIN	-	-	-	-	-	-	X	-	-	3
xxx-xx-4444	MEUNIR	-	-	-	-	-	-	X	-	-	1
xxx-xx-7563	QUINN	-	-	-	-	-	-	-	X	-	3
xxx-xx-6969	SMITH	-	-	-	-	-	-	X	-	-	3
xxx-xx-7777	SMITTY	-	-	-	-	-	-	X	-	-	1



ASC COMPLIANCE REPORTS

Benefits, Rights and Features Test For the Plan Year Ending December 31, 2017

Concentration

	<u>HCEs</u>	<u>NHCEs</u>
Total employees:	6	14
Concentration percentage:		70.00%
Safe Harbor ratio:		42.50%
Midpoint ratio:		37.50%
Unsafe Harbor ratio:		32.50%

Includable Employees

	<u>HCEs</u>	<u>NHCEs</u>
Total employees:	6	15
Total excludable employees:	0	1
Total non-excludable employees:	6	14

<u>Benefits, Rights and Features Test:</u>	<u>HCEs</u>	<u>NHCEs</u>	<u>HCE</u> <u>Pct</u>	<u>NHCE</u> <u>Pct</u>	<u>NHCE</u> <u>Ratio</u>	<u>Ratio</u> <u>Percentage</u> <u>Test</u>	<u>Safe Harbor</u> <u>Percentage</u> <u>Test</u>
Houston Office	1	5	16.67%	35.71%	214.22%	Pass	Pass
Dallas Office	2	4	33.33%	28.57%	85.72%	Pass	Pass
LA Office	3	3	50.00%	21.43%	42.86%	Fail	Pass



ASC COMPLIANCE REPORTS

402(g) Deferral Limits Test
Testing Date: December 31, 2017

<u>SSN</u>	<u>Participant</u>	<u>Source</u>	<u>Aggregate Deferrals</u>	<u>402(g) Catchup Contrib</u>	<u>Excess Deferrals</u>	<u>Earnings On Excess Deferrals</u>	<u>Attrib Match</u>	<u>Earnings On Attrib Match</u>
xxx-xx-3232	CUNNINGHAM	D14:0215 DEFERRAL	24,000.00 24,000.00	6,000.00 6,000.00	0.00 0.00	0.00	0.00	0.00
xxx-xx-4545	HYDE	D14:0215 DEFERRAL	20,000.00 20,000.00	2,000.00 2,000.00	0.00 0.00	0.00	0.00	0.00
xxx-xx-1111	ISE	D14:0215 DEFERRAL	19,000.00 19,000.00	1,000.00 1,000.00	0.00 0.00	0.00	0.00	0.00
xxx-xx-4444	MEUNIR	D14:0215 DEFERRAL	18,500.00 18,500.00	0.00 0.00	500.00 500.00	0.00	0.00	0.00



ASC COMPLIANCE REPORTS

402(g) Deferral Limits Test
Testing Date: December 31, 2017

<u>SSN</u>	<u>Participant</u>	<u>Source</u>	<u>Aggregate Deferrals</u>	<u>402(g) Catchup Contrib</u>	<u>Excess Deferrals</u>	<u>Earnings On Excess Deferrals</u>	<u>Attrib Match</u>	<u>Earnings On Attrib Match</u>
	Totals:	D14:0215 DEFERRAL	81,500.00	9,000.00	500.00	0.00	0.00	0.00
	Grand Total:		81,500.00	9,000.00	500.00	0.00	0.00	0.00
	Counts:		4	3	1		0	



ASC COMPLIANCE REPORTS

Pre-Tax Plan Limits Test
Plan Year End: December 31, 2017

<u>SSN</u>	<u>Participant</u>	<u>Source</u>	<u>Compensation</u>	<u>Actual Contrib</u>	<u>Contrib Percent</u>	<u>Maximum Contrib</u>	<u>Plan Limit Catchup Contrib</u>	<u>Excess Contrib</u>	<u>Earnings On Excess Contrib</u>	<u>Attrib Match</u>	<u>Earnings On Attrib Match</u>
xxx-xx-5555	CUNNINGHAM-JR	D14:0215	50,000.00	10,000.00	20.00%	3,500.00	0.00	6,500.00			
		DEFERRAL		10,000.00			0.00	6,500.00	0.00	0.00	0.00
							0.00	6,500.00			
xxx-xx-4545	HYDE	D14:0215	200,000.00	18,000.00	9.00%	14,000.00	4,000.00	0.00			
		DEFERRAL		18,000.00			4,000.00	0.00	0.00	0.00	0.00
							4,000.00	0.00			
xxx-xx-1111	ISE	D14:0215	210,000.00	18,000.00	8.57%	14,700.00	3,300.00	0.00			
		DEFERRAL		18,000.00			3,300.00	0.00	0.00	0.00	0.00
							3,300.00	0.00			



ASC COMPLIANCE REPORTS

Pre-Tax Plan Limits Test
Plan Year End: December 31, 2017

<u>SSN</u>	<u>Participant</u>	<u>Source</u>	<u>Compensation</u>	<u>Actual Contrib</u>	<u>Contrib Percent</u>	<u>Maximum Contrib</u>	<u>Plan Limit Catchup Contrib</u>	<u>Excess Contrib</u>	<u>Earnings On Excess Contrib</u>	<u>Attrib Match</u>	<u>Earnings On Attrib Match</u>
Totals:	D14:0215	DEFERRAL		46,000.00			7,300.00	6,500.00	0.00	0.00	0.00
Grand Totals:			460,000.00	46,000.00		32,200.00	7,300.00	6,500.00	0.00	0.00	0.00
Counts:						3	2	1		0	



ASC COMPLIANCE REPORTS

415(c) Maximum Annual Additions Test
Plan Year End: December 31, 2017

<u>SSN</u>	<u>Participant</u>	<u>Source /Type</u>	<u>Aggregate Additions</u>	<u>415(c) Catchup Contrib</u>	<u>Excess Additions</u>	<u>Earnings On Excess Additions</u>	<u>Vested Percent</u>	<u>Vested Excess Earnings</u>	<u>Attrib Match</u>	<u>Earnings On Attrib Match</u>
xxx-xx-3232	CUNNINGHAM		54,850.00	0.00	850.00					
	D14:0215	DEFERRAL / C	18,000.00	0.00	850.00	0.00	100.00%	0.00	0.00	0.00



ASC COMPLIANCE REPORTS

415(c) Maximum Annual Additions Test
Plan Year End: December 31, 2017

<u>SSN</u>	<u>Participant</u>	<u>Source /Type</u>	<u>Aggregate Additions</u>	<u>415(c) Catchup Contrib</u>	<u>Excess Additions</u>	<u>Earnings On Excess Additions</u>	<u>Vested Percent</u>	<u>Vested Excess Earnings</u>	<u>Attrib Match</u>	<u>Earnings On Attrib Match</u>
Totals:	D14:0215	DEFERRAL / C	18,000.00	0.00	850.00	0.00		0.00	0.00	0.00
Grand Total:			18,000.00	0.00	850.00	0.00		0.00	0.00	0.00
Counts:			1	0	1				0	



ASC COMPLIANCE REPORTS

Annual Additions (IRC 415) Test Plan Period 01/01/2017 Through 12/31/2017

<u>SSN</u>	<u>Participant Name</u>	<u>Compensation</u>	<u>Annual Additions</u>	<u>Total Percent Of Comp</u>
xxx-xx-2222	BULLIT	540.00	0.00	0.00%
xxx-xx-3232	CUNNINGHAM	270,000.00	54,000.00	20.00%
xxx-xx-5555	CUNNINGHAM-JR	50,000.00	11,000.00	22.00%
xxx-xx-3333	D'AMBRO	34,356.00	1,994.86	5.81%
xxx-xx-6666	FERRARA	45,895.00	3,153.50	6.87%
xxx-xx-7777	FRANKEL	112,019.00	11,413.14	10.19%
xxx-xx-8888	GILLAN	94,429.00	2,772.87	2.94%
xxx-xx-9999	GREGO	99,647.00	9,354.41	9.39%
xxx-xx-6789	HANDY	81,750.00	12,080.09	14.78%
xxx-xx-5432	HART	53,066.00	5,737.28	10.81%
xxx-xx-4545	HYDE	200,000.00	26,000.00	13.00%
xxx-xx-1111	ISE	210,000.00	27,000.00	12.86%
xxx-xx-7532	JOHNSON	69,132.00	6,688.13	9.67%
xxx-xx-5421	KIMM	135,000.00	16,900.00	12.52%
xxx-xx-4646	MARTIN	37,200.00	5,232.00	14.06%
xxx-xx-4444	MEUNIR	51,442.00	19,500.00	37.91%
xxx-xx-6969	SMITH	38,469.00	1,000.00	2.60%
xxx-xx-7777	SMITTY	92,686.00	13,560.27	14.63%
	Totals	1,675,631.00	227,386.55	13.57%

18 Participants Tested
18 Participants Passed IRC 415
0 Participants Failed Maximum Percentage Test
0 Participants Failed Maximum Dollar Test
0 Participants Failed Both Tests
270,000.00 Maximum Compensation Used



ASC COMPLIANCE REPORTS

**Annual Additions (IRC 415) Test
Plan Period 01/01/2017 Through 12/31/2017**

<u>SSN</u>	<u>Participant Name</u>	<u>Compensation</u>	<u>DEFERRAL</u>	<u>MATCHING</u>	<u>Employer</u>	<u>Other Contribs</u>	<u>Total Forfeit</u>	<u>Total Annual Additions</u>	<u>Pct of Comp</u>
xxx-xx-2222	BULLIT	540.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00%
xxx-xx-3232	CUNNINGHAM	270,000.00	17,150.00	7,950.00	18,900.00	10,000.00	0.00	54,000.00	20.00%
xxx-xx-5555	CUNNINGHAM-JR	50,000.00	10,000.00	500.00	500.00	0.00	0.00	11,000.00	22.00%
xxx-xx-3333	D'AMBRO	34,356.00	482.09	482.09	1,030.68	0.00	0.00	1,994.86	5.81%
xxx-xx-6666	FERRARA	45,895.00	876.75	876.75	1,400.00	0.00	0.00	3,153.50	6.87%
xxx-xx-7777	FRANKEL	112,019.00	4,812.00	3,300.57	3,300.57	0.00	0.00	11,413.14	10.19%
xxx-xx-8888	GILLAN	94,429.00	0.00	0.00	2,772.87	0.00	0.00	2,772.87	2.94%
xxx-xx-9999	GREGO	99,647.00	4,000.00	2,500.00	2,854.41	0.00	0.00	9,354.41	9.39%
xxx-xx-6789	HANDY	81,750.00	7,175.09	2,452.50	2,452.50	0.00	0.00	12,080.09	14.78%
xxx-xx-5432	HART	53,066.00	2,553.32	1,591.98	1,591.98	0.00	0.00	5,737.28	10.81%
xxx-xx-4545	HYDE	200,000.00	14,000.00	6,000.00	6,000.00	0.00	0.00	26,000.00	13.00%
xxx-xx-1111	ISE	210,000.00	14,700.00	6,000.00	6,300.00	0.00	0.00	27,000.00	12.86%
xxx-xx-7532	JOHNSON	69,132.00	4,688.13	2,000.00	0.00	0.00	0.00	6,688.13	9.67%
xxx-xx-5421	KIMM	135,000.00	9,100.00	3,900.00	3,900.00	0.00	0.00	16,900.00	12.52%
xxx-xx-4646	MARTIN	37,200.00	3,000.00	1,116.00	1,116.00	0.00	0.00	5,232.00	14.06%
xxx-xx-4444	MEUNIR	51,442.00	18,000.00	0.00	1,500.00	0.00	0.00	19,500.00	37.91%
xxx-xx-6969	SMITH	38,469.00	0.00	0.00	1,000.00	0.00	0.00	1,000.00	2.60%
xxx-xx-7777	SMITTY	92,686.00	8,137.11	2,711.58	2,711.58	0.00	0.00	13,560.27	14.63%
	Totals	1,675,631.00	118,674.49	41,381.47	57,330.59	10,000.00	0.00	227,386.55	



ADP and ACP Non-Discrimination Testing

Results & Reports

for

ASC COMPLIANCE REPORTS

As of December 31, 2017

April 18, 2017



ASC COMPLIANCE REPORTS

Summary of the results



**Actual Deferral Percentage (ADP) and
Actual Contribution Percentage (ACP) Test Results
As of December 31, 2017**

ASC COMPLIANCE REPORTS

**Standard Method
Non-HCE Percentages Used: ADP - Current; ACP - Current**

A. Step One

These tests compare the Average Highly Compensated Employees' (HCEs) % to the Average Non-Highly Compensated Employees' (NHCEs) %. Under IRC Sections 401(k) and 401(m), the Average HCE % is limited to the greater of the Basic Test and the Alternative test.

1. Basic Test - 125% of the Average NHCE%
2. Alternative Test - the lesser of
 - a. The Average NHCE% plus 2%
 - b. The Average NHCE% times 2

Test Results

		ADP Test		Post-ATM ACP Test*		
	<u>Count</u>	<u>Total %</u>	<u>Avg %</u>	<u>Count</u>	<u>Total %</u>	<u>Avg %</u>
HCE	6	51.72%	8.62%	6	15.80%	2.63%
NHCE	12	56.94%	4.75%	12	20.83%	1.74%
Plan Total	18			18		
1. Basic Test			5.94%			2.18%
2. Alternative Test			6.75%			3.48%
3. Greater of "1" and "2"			6.75%			3.48%
Results			Fails			Passes
Reduce HCE Avg % to			6.75%			N/A

* These ACP Test results are based on the ACP contributions remaining in HCE accounts after the forfeiture of Attributable-To Matching (ATM) Contributions (i.e., matching contributions related to deferral contributions that will be distributed to correct a failed ADP Test).



**Summary of Catchup Contributions
As of December 31, 2017**

ASC COMPLIANCE REPORTS

If a plan participant has reached the age of 50, (s)he is eligible to defer money in excess of the limits of the plan. These monies are referred to as "Catchup Contributions". Such limits include, but are not limited to, the 402(g) maximum deferral limit and a plan-imposed maximum deferral limit. Also eligible for reclassification as "Catchup Contributions" are corrective distributions to HCEs due to failure of the ADP test.

<u>SSN</u>	<u>Name</u>	<u>Initial ADP Contrib</u>	<u>402(g)/ Max Def Catchup Contrib</u>	<u>Net Contrib for ADP</u>	<u>ADP Maximum Catchup Contrib</u>	<u>Total Catchup Contrib</u>
xxx-xx-3232	CUNNINGHAM	23,150.00	6,000.00	17,150.00	0.00	6,000.00
xxx-xx-4545	HYDE	20,000.00	6,000.00	14,000.00	0.00	6,000.00
xxx-xx-1111	ISE	19,000.00	4,300.00	14,700.00	1,286.67	5,586.67
Totals:	3	62,150.00	16,300.00	45,850.00	1,286.67	17,586.67



ASC COMPLIANCE REPORTS

HCE and NHCE Listings



**Listing of Highly Compensated Employees
As of December 31, 2017**

ASC COMPLIANCE REPORTS

If the plan fails the ADP test and corrective distributions are made to HCEs, any matching contributions that are attributable to the distributed deferral contributions ("Attributable-To Match" or "ATM") must be forfeited, even if they are vested.

SSN	Name	ADP		ADP test		ACP		ACP test		ATM	Post-ATM ACP test	
		Compensation	Contrib.	Pct	Compensation	Contrib.	Pct	Contrib.	Pct		Contrib.	Pct
xxx-xx-3232	CUNNINGHAM	270,000.00	17,150.00	6.35	270,000.00	7,950.00	2.94	0.00	7,950.00	2.94		
xxx-xx-5555	CUNNINGHAM-JR	50,000.00	10,000.00	20.00	50,000.00	500.00	1.00	0.00	500.00	1.00		
xxx-xx-7777	FRANKEL	110,019.00	4,812.00	4.37	110,019.00	3,300.57	3.00	0.00	3,300.57	3.00		
xxx-xx-4545	HYDE	200,000.00	14,000.00	7.00	200,000.00	6,000.00	3.00	0.00	6,000.00	3.00		
xxx-xx-1111	ISE	210,000.00	14,700.00	7.00	210,000.00	6,000.00	2.86	0.00	6,000.00	2.86		
xxx-xx-5421	KIMM	130,000.00	9,100.00	7.00	130,000.00	3,900.00	3.00	0.00	3,900.00	3.00		
HCE Totals:		970,019.00	69,762.00	51.72	970,019.00	27,650.57	15.80	0.00	27,650.57	15.80		
Total number of HCEs:		100.00% deferring		6			6				6	
Average HCE ADP and ACP % is derived by dividing the HCE % total by the total number of aggregated HCEs:				8.62			2.63				2.63	



**Listing of Non-Highly Compensated Employees
As of December 31, 2017**

ASC COMPLIANCE REPORTS

<u>SSN</u>	<u>Name</u>	<u>ADP</u>			<u>ADP test</u>			<u>ACP</u>			<u>ACP test</u>		
		<u>Compensation</u>	<u>Contrib.</u>	<u>Pct</u>	<u>Compensation</u>	<u>Contrib.</u>	<u>Pct</u>	<u>Compensation</u>	<u>Contrib.</u>	<u>Pct</u>	<u>Compensation</u>	<u>Contrib.</u>	<u>Pct</u>
xxx-xx-2222	BULLIT	540.00	0.00	0.00	540.00	0.00	0.00	540.00	0.00	0.00	540.00	0.00	0.00
xxx-xx-3333	D'AMBRO	34,356.00	482.09	1.40	34,356.00	482.09	1.40	34,356.00	482.09	1.40	34,356.00	482.09	1.40
xxx-xx-6666	FERRARA	45,895.00	876.75	1.91	45,895.00	876.75	1.91	45,895.00	876.75	1.91	45,895.00	876.75	1.91
xxx-xx-8888	GILLAN	92,429.00	0.00	0.00	92,429.00	0.00	0.00	92,429.00	0.00	0.00	92,429.00	0.00	0.00
xxx-xx-9999	GREGO	95,147.00	4,000.00	4.20	95,147.00	2,500.00	2.63	95,147.00	2,500.00	2.63	95,147.00	2,500.00	2.63
xxx-xx-6789	HANDY	81,750.00	7,175.09	8.78	81,750.00	2,452.50	3.00	81,750.00	2,452.50	3.00	81,750.00	2,452.50	3.00
xxx-xx-5432	HART	53,066.00	2,553.32	4.81	53,066.00	1,591.98	3.00	53,066.00	1,591.98	3.00	53,066.00	1,591.98	3.00
xxx-xx-7532	JOHNSON	69,132.00	4,688.13	6.78	69,132.00	2,000.00	2.89	69,132.00	2,000.00	2.89	69,132.00	2,000.00	2.89
xxx-xx-4646	MARTIN	37,200.00	3,000.00	8.06	37,200.00	1,116.00	3.00	37,200.00	1,116.00	3.00	37,200.00	1,116.00	3.00
xxx-xx-4444	MEUNIR	150,000.00	18,000.00	12.00	150,000.00	0.00	0.00	150,000.00	0.00	0.00	150,000.00	0.00	0.00
xxx-xx-6969	SMITH	38,469.00	0.00	0.00	38,469.00	0.00	0.00	38,469.00	0.00	0.00	38,469.00	0.00	0.00
xxx-xx-7777	SMITTY	90,386.00	8,137.11	9.00	90,386.00	2,711.58	3.00	90,386.00	2,711.58	3.00	90,386.00	2,711.58	3.00
NHCE Totals:		788,370.00	48,912.49	56.94	788,370.00	13,730.90	20.83	788,370.00	13,730.90	20.83	788,370.00	13,730.90	20.83
Total number of NHCEs:		75.00% deferring			12			12			12		
Average NHCE ADP and ACP % is derived by dividing the NHCE % total by the total number of aggregated NHCEs:					4.75						1.74		
Grand Totals:		1,758,389.00	118,674.49		1,758,389.00	41,381.47		1,758,389.00	41,381.47		1,758,389.00	41,381.47	



ASC COMPLIANCE REPORTS

Details of Test Corrections



**Corrective Distribution Report
As of December 31, 2017**

ASC COMPLIANCE REPORTS

ADP Test

Part I - Calculated Adjustments

<u>SSN</u>	<u>Name</u>	<u>ADP Pct</u>	<u>Contributions</u>		<u>Reduced ADP Pct</u>
			<u>Adjusted</u>	<u>Reduction</u>	
xxx-xx-3232	CUNNINGHAM	6.35	17,150.00	0.00	6.35
xxx-xx-5555	CUNNINGHAM-JR	20.00	10,000.00	5,610.00	8.78
xxx-xx-7777	FRANKEL	4.37	4,812.00	0.00	4.37
xxx-xx-4545	HYDE	7.00	14,000.00	0.00	7.00
xxx-xx-1111	ISE	7.00	14,700.00	0.00	7.00
xxx-xx-5421	KIMM	7.00	9,100.00	0.00	7.00
Totals/Count:	6	51.72	69,762.00	5,610.00	40.50
Average Total:		8.62			6.75



**Corrective Distribution Report
As of December 31, 2017**

ASC COMPLIANCE REPORTS

ADP Test

Part II - Actual Adjustments (Corrective Distribution Amounts)

<u>SSN</u>	<u>Name</u>	<u>Sources</u>	<u>Adjusted Contribs</u>	<u>402(g) Excess</u>	<u>Catchup Contrib</u>	<u>Excess</u>	<u>Earnings</u>	<u>ADP Distrib</u>	<u>ATM</u>	<u>Earnings</u>	<u>Forfeited Amount</u>
xxx-xx-3232	CUNNINGHAM	DEFERRAL	17,150.00	0.00	0.00	3,736.67	0.00	3,736.67			
xxx-xx-4545	HYDE	DEFERRAL	14,000.00	0.00	0.00	586.66	0.00	586.66			
xxx-xx-1111	ISE	DEFERRAL	14,700.00	0.00	1,286.67	0.00	0.00	0.00			
Totals:	3		45,850.00	0.00	1,286.67	4,323.33	0.00	4,323.33	0.00	0.00	0.00



**Corrective Distribution Report
As of December 31, 2017**

ASC COMPLIANCE REPORTS

ADP/ACP Tests

Part III - Correction Summary

<u>SSN</u>	<u>Name</u>	<u>Sources</u>	ADP <u>Excess</u>	<u>Earnings</u>	<u>Sources</u>	ACP <u>Vest %</u>	<u>Excess</u>	<u>Earnings</u>	Total <u>Distrib</u>	<u>ACP</u>	<u>ATM</u>	<u>Earnings</u>	Total <u>Forfeit</u>
xxx-xx-3232	CUNNINGHAM	DEFERRAL	3,736.67	0.00					3,736.67				0.00
xxx-xx-4545	HYDE	DEFERRAL	586.66	0.00					586.66				0.00
Totals/Count: 2			4,323.33	0.00			0.00	0.00	4,323.33	0.00	0.00	0.00	0.00



ASC COMPLIANCE REPORTS

Compliance Testing Summary of Results Plan Year End: December 31, 2017

Employee Data Checks

Test: Employee data errors found

416 Top Heavy Determination

Test: 16.3544% to key employees
Plan is not top heavy

416 Top Heavy Minimum Calculation

Test: Top heavy contribution underpaid by \$671.33

Match Verification

Test: Total variance of \$-3,421.63

Employer Contribution Verification

Test: Total variance of \$9,625.82

414(s) Test

Primary eligibility: HCE count 6; HCE ratio 99.09%
NHCE count 12; NHCE ratio 99.24%
HCE/NHCE ratio 100.15%

410(b) Coverage Test

Standard (source 2): Pass Ratio percent 71.43%
Non-excluded 20; Non-excluded HCEs 6; Benefitting 16; Benefitting HCEs 6
401(k): Pass Ratio percent 85.71%
Non-excluded 20; Non-excluded HCEs 6; Benefitting 18; Benefitting HCEs 6
401(m): Pass Ratio percent 85.71%
Non-excluded 20; Non-excluded HCEs 6; Benefitting 18; Benefitting HCEs 6

410(b) Average Benefit Test

Test: Pass
Annual accrual (current comp) method used
Ratio pct 71.43%; 70% HCE 1.44%; 100% NHCE 1.6%; Safe harbor 35.75%

401(a)(4) Test

Test: Pass

Benefits, Rights and Features Test

Tiered match: Pass
Locational: Pass

402(g) Deferral Limits Test

Test: Fail; 1 failures
Returns \$500.00; ATMs \$0.00; Earnings \$0.00; Catchups \$9,000.00

Plan Limits Test

Pre-tax limits: Fail; 1 failures
Returns \$6,500.00; ATMs \$0.00; Earnings \$0.00; Catchups \$7,300.00



ASC COMPLIANCE REPORTS

Compliance Testing Summary of Results Plan Year End: December 31, 2017

415(c) Annual Additions Test

Test: Fail; 1 failures
Returns \$850.00; ATMs \$0.00; Earnings \$0.00; Catchups \$0.00

ADP/ACP Test

ADP: Fail
ACP: Pass
HCE ADP 8.62%; HCE ACP 2.63%
NHCE ADP 4.75%; NHCE ACP 1.74%
ADP Returns \$4,323.33; ACP Returns \$0.00; ATMs \$0.00; Earnings \$0.00
Catchups \$1,286.67
ADP QNECs \$0.00; ACP QNECs \$0.00



ASC COMPLIANCE REPORTS

Summary of Catchup Contributions Plan Year End: December 31, 2017

<u>SSN</u>	<u>Participant</u>	<u>Source</u>	<u>402(g) Catchup Contrib</u>	<u>Plan Limit Catchup Contrib</u>	<u>415(c) Catchup Contrib</u>	<u>ADP Catchup Contrib</u>	<u>Total Catchup Contrib</u>
xxx-xx-3232	CUNNINGHAM	1	6,000.00	0.00	0.00	0.00	6,000.00
xxx-xx-4545	HYDE	1	2,000.00	4,000.00	0.00	0.00	6,000.00
xxx-xx-1111	ISE	1	1,000.00	3,300.00	0.00	1,286.67	5,586.67
Totals:			9,000.00	7,300.00	0.00	1,286.67	17,586.67



ASC COMPLIANCE REPORTS

Compliance Test Excess Summary
Plan Year End: December 31, 2017

<u>SSN</u>	<u>Name/Source</u>	<u>402(g) Excess</u>	<u>Pre-tax Plan Excess</u>	<u>415(c) Excess</u>	<u>ADP/ACP Excess</u>	<u>ATM On Excess</u>	<u>Contrib Formula Excess</u>	<u>Total Excess</u>	<u>Total Earnings On Excess</u>	<u>Vested Percent</u>	<u>Excess Amount Forfeited</u>
xxx-xx-3232	CUNNINGHAM DEFERRAL	0.00	0.00	850.00	3,736.67	0.00	0.00	4,586.67	0.00	100.00%	0.00
xxx-xx-4545	HYDE DEFERRAL	0.00	0.00	0.00	586.66	0.00	0.00	586.66	0.00	100.00%	0.00
xxx-xx-4444	MEUNIR DEFERRAL	500.00	0.00	0.00	0.00	0.00	0.00	500.00	0.00	100.00%	0.00
Totals:											
	DEFERRAL Total	500.00	0.00	850.00	4,323.33	0.00	0.00	5,673.33	0.00		0.00
	Grand Total:	500.00	0.00	850.00	4,323.33	0.00	0.00	5,673.33	0.00		0.00
	Counts (3 printed):	1	0	1	2	0	0	3			0