

## **Caution: *DRAFT—NOT FOR FILING***

This is an early release draft of an IRS tax form, instructions, or publication, which the IRS is providing for your information as a courtesy. **Do not file draft forms.** Also, do not rely on draft instructions and publications for filing. We generally do not release drafts of forms until we believe we have incorporated all changes. However, unexpected issues sometimes arise, or legislation is passed, necessitating a change to a draft form. In addition, forms generally are subject to OMB approval before they can be officially released. Drafts of instructions and publications usually have at least some changes before being officially released.

Early releases of draft forms and instructions are at [IRS.gov/draftforms](https://www.irs.gov/draftforms). Please note that drafts may remain on IRS.gov even after the final release is posted at [IRS.gov/downloadforms](https://www.irs.gov/downloadforms), and thus may not be removed until there is a new draft for the subsequent revision. All information about all revisions of all forms, instructions, and publications is at [IRS.gov/formspubs](https://www.irs.gov/formspubs).

Almost every form and publication also has its own easily accessible information page on IRS.gov. For example, the Form 1040 page is at [IRS.gov/form1040](https://www.irs.gov/form1040); the Form W-2 page is at [IRS.gov/w2](https://www.irs.gov/w2); the Publication 17 page is at [IRS.gov/pub17](https://www.irs.gov/pub17); the Form W-4 page is at [IRS.gov/w4](https://www.irs.gov/w4); the Form 8863 page is at [IRS.gov/form8863](https://www.irs.gov/form8863); and the Schedule A (Form 1040) page is at [IRS.gov/schedulea](https://www.irs.gov/schedulea). If typing in the links above instead of clicking on them: type the link into the address bar of your browser, not in a Search box; the text after the slash must be lowercase; and your browser may require the link to begin with “www.”. Note that these are shortcut links that will automatically go to the actual link for the page.

If you wish, you can submit comments about draft or final forms, instructions, or publications on the [Comment on Tax Forms and Publications](#) page on IRS.gov. We cannot respond to all comments due to the high volume we receive, but we will carefully consider each one. Please note that we may not be able to consider many suggestions until the subsequent revision of the product.

**Annual Return of One-Participant  
(Owners and Their Spouses) Retirement Plan**

**2016**

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.**
- ▶ **Information about Form 5500-EZ and its instructions is at [www.irs.gov/form5500ez](http://www.irs.gov/form5500ez).**

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

**Part I Annual Return Identification Information**

For the calendar plan year 2016 or fiscal plan year beginning (MM/DD/YYYY) and ending

- 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** If filing under an extension of time, check this box (see instructions)
- 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 (see instructions)

**Part II Basic Plan Information – enter all requested information.**

<p><b>1a</b> Name of plan</p>	<p><b>1b</b> Three-digit plan number (PN) ▶</p>										
	<p><b>1c</b> Date plan first became effective (MM/DD/YYYY)</p>										
<p><b>2a</b> Employer's name</p> <p>Trade name of business (if different from name of employer)</p> <p>In care of name</p> <p>Mailing address (room, apt., suite no. and street, or P.O. Box)</p> <p>City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)</p>	<p><b>2b</b> Employer Identification Number (EIN) (Do not enter your Social Security Number)</p> <p><b>2c</b> Employer's telephone number</p> <p><b>2d</b> Business code (see instructions)</p>										
<p><b>3a</b> Plan administrator's name (If same as employer, enter "Same")</p> <p>In care of name</p> <p>Mailing address (room, apt., suite no. and street, or P.O. Box)</p> <p>City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)</p>	<p><b>3b</b> Administrator's EIN</p> <p><b>3c</b> Administrator's telephone number</p>										
<p><b>4a</b> Name of trust</p>	<p><b>4b</b> Trust's EIN</p>										
<p><b>4c</b> Name of trustee or custodian</p>	<p><b>4d</b> Trustee or custodian's telephone number</p>										
<p><b>5</b> If the name and/or EIN of the employer has changed since the last return filed for this plan, enter the name, EIN, and plan number for the last return in the appropriate space provided:</p> <p><b>a</b> Employer's name</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"><b>5b</b></td> <td>EIN</td> </tr> <tr> <td><b>5c</b></td> <td>PN</td> </tr> </table>	<b>5b</b>	EIN	<b>5c</b>	PN						
<b>5b</b>	EIN										
<b>5c</b>	PN										
<p><b>6a(1)</b> Total number of participants at the beginning of the plan year</p> <p><b>a(2)</b> Total number of active participants at the beginning of the plan year</p> <p><b>b(1)</b> Total number of participants at the end of the plan year</p> <p><b>b(2)</b> Total number of active participants at the end of the plan year</p> <p><b>c</b> Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"><b>6a(1)</b></td> <td></td> </tr> <tr> <td><b>6a(2)</b></td> <td></td> </tr> <tr> <td><b>6b(1)</b></td> <td></td> </tr> <tr> <td><b>6b(2)</b></td> <td></td> </tr> <tr> <td><b>6c</b></td> <td></td> </tr> </table>	<b>6a(1)</b>		<b>6a(2)</b>		<b>6b(1)</b>		<b>6b(2)</b>		<b>6c</b>	
<b>6a(1)</b>											
<b>6a(2)</b>											
<b>6b(1)</b>											
<b>6b(2)</b>											
<b>6c</b>											

**Part III Financial Information**

		(1) Beginning of year	(2) End of year
<b>7a</b> Total plan assets	<b>7a</b>		
<b>b</b> Total plan liabilities	<b>7b</b>		
<b>c</b> Net plan assets (subtract line <b>7b</b> from <b>7a</b> )	<b>7c</b>		

**Part III (Continued)**

<b>8</b>	Contributions received or receivable from:		<b>Amount</b>
<b>a</b>	Employers . . . . .	<b>8a</b>	
<b>b</b>	Participants . . . . .	<b>8b</b>	
<b>c</b>	Others (including rollovers) . . . . .	<b>8c</b>	

**Part IV Plan Characteristics**

**9** Enter the applicable two-character feature codes from the List of Plan Characteristics Codes in the instructions:

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**Part V Compliance and Funding Questions**

	Yes	No	Amount
<b>10</b> During the plan year, did the plan have any participant loans? If "Yes," enter amount as of year end . . . . .	<b>10</b>		
<b>11</b> Is this a defined benefit plan that is subject to minimum funding requirements? If "Yes," complete Schedule SB (Form 5500) and line 11a below. (See instructions.)	<b>11</b>		
<b>a</b> Enter the unpaid minimum required contributions for all years from Schedule SB (Form 5500), line 40	<b>11a</b>		
<b>12</b> Is this a defined contribution plan subject to the minimum funding requirements of section 412 of the Code? If "Yes," complete lines 12a or 12b, 12c, 12d, and 12e below, as applicable:	<b>12</b>		
<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>12a</b>		
<b>b</b> Enter the minimum required contribution for this plan year . . . . .	<b>12b</b>		
<b>c</b> Enter the amount contributed by the employer to the plan for this plan year . . . . .	<b>12c</b>		
<b>d</b> 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) . . . . .	<b>12d</b>		
<b>e</b> Will the minimum funding amount reported on line 12d be met by the funding deadline?	<b>12e</b>		
<b>13a</b> If the plan is a master and prototype plan (M&P) or volume submitter plan that received a favorable IRS opinion letter or advisory letter, enter the date of the letter (MM/DD/YYYY) _____ and the serial number _____.			
<b>b</b> If the plan is an individually-designed plan that received a favorable determination letter from the IRS, enter the date of the most recent determination letter (MM/DD/YYYY) _____.			
<b>14</b> Was any plan participant a 5% owner who had attained at least age 70½ during the prior plan year? . . . . .	<b>14</b>		
<b>15</b> Defined Benefit Plan or Money Purchase Pension Plan only: Were any distributions made during the plan year to an employee who attained age 62 and had not separated from service? . . . . .	<b>15</b>		

**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	Type or print name of individual signing as employer or plan administrator

Preparer's name (including firm name, if applicable) and address, including room or suite number	Preparer's telephone number
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