

Information submitted via Top Hat Plan Statement Online Filing System to U. S.  
Department of Labor under 29 CFR 2520.104-23

Date Completed: 12/5/2023 7:19 PM EST

Confirmation Number: 12376

Amended Confirmation Number:

Employer Information

Name: Humphrey & Associates  
Address: 5245 E. Santa Ana Canyon Road, Suite 120  
City: Anaheim  
State: CA  
Zip Code: 92807

Plan Administrator Information

Name: DJM Financial Wealth Management & Insurance Services  
Address: 18575 Jamboree Road, Suite 400  
City: Irvine  
State: CA  
Zip Code: 92612  
Phone: 9496227252  
Email: thomas.cary@nm.com

Plan Information

Employer maintains the plan or plans below primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.

|      |            |                           |
|------|------------|---------------------------|
| ID:1 | Plan Name: | Number of<br>Employees: 1 |
|------|------------|---------------------------|

Additional Information:



U. S. Department of Labor  
Employee Benefits Security Administration  
Washington, DC 20210

This message confirms that the Department of Labor's (DOL's) Employee Benefits Security Administration (EBSA) has received the filing of your Top Hat Plan Statement. The confirmation code for your filing is 12376. When correcting errors to your filing, please use this code in your amended statement. This communication does not mean that DOL has made a determination that you are eligible to file under DOL regulation 29 CFR 2520.104-23.