

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

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Confirmation Number: 13538

Amended Confirmation Number:

Employer Information

Name: Financial Industry Regulatory Authority, Inc.
Address: 1700 K St NW
City: Washington
State: DC
Zip Code: 20006

Plan Administrator Information

Name: Financial Industry Regulatory Authority, Inc.
Address: 9509 Key West Ave
City: Rockville
State: MD
Zip Code: 20850
Phone: 2403864863
Email: tony.cavallaro@finra.org

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:	FINRA 457(b) DEFERRED COMPENSATION PLAN	Number of Employees: 163
ID:2	Plan Name:	FINRA SUPPLEMENTAL EXECUTIVE RETIREMENT PLAN	Number of Employees: 2

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 13538. 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.