

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: 15020

Amended Confirmation Number:

Employer Information

Name: Cetera Financial Group, Inc.  
Address: 2301 Rosecrans Ave #5100  
City: El Segundo  
State: CA  
Zip Code: 90245

Plan Administrator Information

Name: Cetera Financial Group, Inc.  
Address: 2301 Rosecrans Ave #5100  
City: El Segundo  
State: CA  
Zip Code: 90245  
Phone:  
Email: adeline.wong@cetera.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:	Deferred Compensation Plan for Mutual Fund Investments for Former Employees of Concourse Financial Group Securities, Inc.	Number of Employees: 40
ID:2	Plan Name:	Deferred Compensation Plan for Fund Family and Split Dollar Participants for Former Employees of Concourse Financial Group Securities, Inc.	Number of Employees: 13

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 15020. 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.