

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

Date Completed: 9/29/2025 10:21 AM EST

Confirmation Number: 15405
Amended Confirmation Number:

Employer Information

Name: DJ St. Germain Co., Inc.
Address: 1500 Main St 25th Floor
City: Springfield
State: MA
Zip Code: 01115

Plan Administrator Information

Name: Michael Matty
Address: 1500 Main St.
City: Springfield
State: MA
Zip Code: 01115
Phone: 4137335111
Email: mmatty@stgermaininvestments.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 Agreement "	Number of Employees: 1
ID:2	Plan Name:	"Key Employee Phantom Unit Plan" including Aug 2024 Restatement	Number of Employees: 6

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 15405. 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.