

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: 2449

Amended Confirmation Number:

Employer Information

Name: Rosenthal & Rosenthal, Inc.
Address: 1370 Broadway
City: New York State: NY Zip Code: 10018

Plan Administrator Information

Name: SERP Committee in care of James Occhiogrosso
Address: 1370 Broadway
City: New York State: NY Zip Code: 10018
Phone: 2123561415
Email: jocchiogrosso@rosenthalinc.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:	Rosenthal & Rosenthal, Inc. Supplemental Executive Retirement Plan	Number of Employees: 4
ID:2	Plan Name:	Supplemental Executive Retirement Plan II	Number of Employees: 13

Additional Information:

There are two additional 100% owned subsidiaries of Rosenthal & Rosenthal, Inc. with employees involved in the SERP II program. Rosenthal & Rosenthal of California, Inc. EIN 95-3186202 and Rosenthal & Rosenthal of New Jersey, Inc. EIN 13-2875694.



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 2449. 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.