

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: 5690

Amended Confirmation Number:

Employer Information

Name: Greenwald Underwriting Associates, Inc.
Address: 5771 Mayfair Road
City: North Canton
State: OH
Zip Code: 44720

Plan Administrator Information

Name: Greenwald Underwriting Associates, Inc. c/o Jordan Greenwald
Address: 5771 Mayfair Road
City: North Canton
State: OH
Zip Code: 44720
Phone:
Email: jordan@gdkandco.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
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Additional Information:

This filing relates to a Deferred Compensation Agreement between Greenwald Underwriting Associates, Inc. and Richard D. Kase, executed and effective July 1, 2019. The Agreement provides for 120 semi-monthly payments of a set dollar amount to be paid over a five year period. Please note that it is questionable whether the Agreement constitutes a top hat plan under Labor Regulation Section 2520.104-23 because it is unclear whether payments will extend to or beyond Mr. Kase's termination of covered employment since he is actively employed at this time, payments have already begun, and the date of his termination of employment is not currently known. This filing shall also extend to any deferred compensation plan or other type of top hat plan hereinafter adopted by the Employer that is maintained primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees. This registration statement is being prepared and timely submitted by counsel to the Employer, Corine R. Corpora, Esq., Tucker Ellis LLP, 950 Main Avenue, Cleveland, OH 44113 (216.696.5581) on October 24, 2019, within 120 days following the execution and effective date of the Deferred Compensation Agreement.



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 5690. 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.