

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

Date Completed: 11/22/2021 5:16 PM EST

Confirmation Number: 8949  
Amended Confirmation Number: 8937

Employer Information

Name: Southwestern Investment Advisory Services, LLC dba Southwestern Investment Group  
Address: 801 Crescent Centre Drive, Suite 600  
City: Franklin  
State: TN  
Zip Code: 37064

Plan Administrator Information

Name: Brian Harding  
Address: 801 Crescent Centre Drive, Suite 600  
City: Franklin  
State: TN  
Zip Code: 37064  
Phone: 6157789093  
Email: brian.harding@swinvestmentgroup.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:	Southwestern Investment Advisory Services, LLC Supplemental Retirement Plan	Number of Employees: 9
ID:2	Plan Name:	Southwestern Investment Group Executive Deferred Compensation Plan	Number of Employees: 36

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 8949. 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.