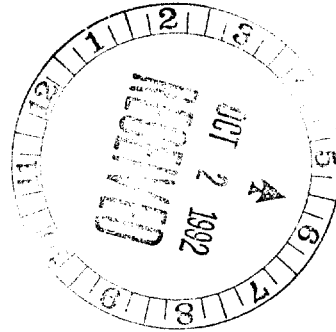


2520190031073



05177

INVOICE DATE	INVOICE/CONTRACT NUMBER	DESCRIPTION	GROSS AMOUNT	DISCOUNT	NET AMOUNT
092292	09-25-92	TOP HAT PLAN EXEMPTION	100000	00	100000

DETACH AND RETAIN THIS STATEMENT



**American Heart Association**  
National Center

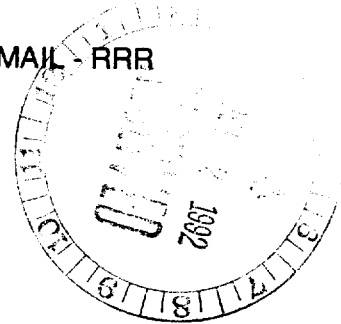
*Dedicated to the reduction of disability and death from cardiovascular diseases and stroke.*

September 25, 1992

05177

Top Hat Plan Exemption  
Pension and Welfare Benefits  
Administration  
U. S. Department of Labor  
P. O. Box 75212  
Washington, D.C. 20013-5212

CERTIFIED MAIL - RRR



Re: American Heart Association, Inc.

Gentlemen:

Enclosed for filing with respect to the American Heart Association, Inc., are a statement prepared to ensure compliance with DOL Reg. Section 2520.104-23 and a check for \$1,000 made payable to the U. S. Department of Labor. This filing and payment are being made in accordance with the top-hat plan amnesty program announced by the Department of Labor in its notice published in the Federal Register on July 24, 1992, as modified by subsequent statements made by Department of Labor officials. The Association files this notice solely as a protective measure in the event that either or both of the two deferred compensation agreements maintained for its chief staff executive officer are determined to constitute "plans" under ERISA. The Association believes that they are not "plans".

Thank you for your attention to this matter.

Very truly yours,

David Wm. Livingston  
Vice President, Corporate  
Counsel and Secretary

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AMERICAN HEART ASSOCIATION, INC.

ALTERNATE METHOD OF COMPLIANCE  
PURSUANT TO DOL REG. §2520.104-23

American Heart Association, Inc. ("Employer") files this notice solely as a protective measure in the event the deferred compensation agreements listed below are determined to constitute "plans" under ERISA. Employer takes the position that said agreements do not constitute plans, but if they do, they are unfunded pension arrangements maintained by Employer primarily for the purpose of providing deferred compensation for a select group of management and highly compensated employees.

In view of the foregoing, the following information is provided as a protective measure for purposes of compliance with §2520.104-23 of the Department of Labor Regulations:

1. The name, address and employer identification number of Employer are as follows:

American Heart Association, Inc.  
7272 Greenville Avenue  
Dallas, TX 75231-4596

**13-5613797**

2. The agreements covered by this notice are between Employer and the following employee dated as of the following dates:

Dudley H. Hafner, Executive Vice President  
January 1, 1990

Dudley H. Hafner, Executive Vice President  
November 14, 1985

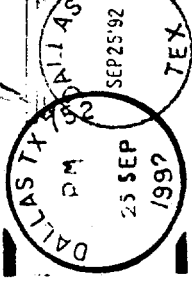
3. If said agreements constitute plans, they are maintained by Employer primarily for the purpose of providing deferred compensation for a select group of management and highly compensated employees.

4. If said agreements constitute plans, the number of such arrangements maintained by Employer for a select group of management or highly compensated employees is two (2) and the number of employees **participating** therein is one (1).

7272 Greenville Avenue Dallas, Texas 75231-4596



**American Heart  
Association  
National Center**



Top Hat Plan Exemption  
Pension and Welfare Benefits  
Administration  
U. S. Department of Labor  
P. O. Box 75212  
Washington, D.C. 20013-5212

