

2520005097959

October 9, 2002

02 OCT 30 PM 2:55

**BY CERTIFIED MAIL**  
**NO. 70012510000629822933**  
**RETURN RECEIPT REQUESTED**

Secretary of Labor  
Top Hat Plan Exemption  
Pension and Welfare Benefits Administration  
Room N-5638  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210

**Re: Case Western Reserve University Deferred Compensation Plan**

Dear Secretary:

Pursuant to Section 2520.104-23 of the Department of Labor's Regulations, this letter will serve as notice that with respect to the Case Western Reserve University Deferred Compensation Plan (the "Plan"), the undersigned intends to utilize the alternative form of compliance with the reporting and disclosure requirements of Part 1 of Title I of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"), which alternative form of compliance is provided in the aforesaid Regulations Section.

Pursuant to Regulations Section 2520.104-23(b), the following information is provided:

1. Name and Address of Employer: Case Western Reserve University,  
10900 Euclid Avenue, Cleveland, Ohio 44106-7020.
2. Employer's Employer Identification Number: 34-1018992. (1 PLAN)
3. The Employer hereby declares that it maintains the Plan primarily for the purpose of providing deferred compensation for select management or highly compensated employees within the meaning of Sections 201(2), 301(a)(3) and 401(a) of ERISA.
4. The Employer hereby states that as of the date of this letter, it maintains no other plan(s) primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees. (40)

Secretary of Labor  
October 9, 2002  
Page 2

Pursuant to Regulations Section 2520.104-23(b)(2), the Employer will provide Plan documents, if any, to the Secretary of Labor upon request as required by Section 104(a)(1) of ERISA.

Very truly yours,

Case Western Reserve University

A handwritten signature in black ink, appearing to read "V.P. Cardella", is written over a horizontal line.

V.P. Cardella

(Title)



# FAX SHEET

**To:** Tia

**Phone:** \_\_\_\_\_

**Fax:** 216 368 3797

**From:** Delores Dews

**Phone:** 202 693 8681

**Fax:** 202 501 4098

**Number of pages, including cover page:** 3

**Comments:**

Please call to acknowledge all pages were received.

Please submit number of plans & participants

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



Benefits & Records Administration

CASE WESTERN RESERVE UNIVERSITY  
10900 Euclid Avenue  
Crawford 2nd Floor- Rm 224 & 220  
Cleveland, Ohio 44106-7047

FACSIMILE COVER

DATE: 11/7/02

TO: Delores Dews

FAX NO: 202-501-4098

ORGANIZATION:

TELE. NO:

FROM:

Carolyn Gregory

FAX NO: (216) 368-3582

TELE. NO: (216) 368-6781

NO. OF PAGES FOLLOWING COVER SHEET: 2

Per our conversation we have 1 plan  
+ 40 participants

October 9, 2002

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RETURN RECEIPT REQUESTED**

Secretary of Labor  
Top Hat Plan Exemption  
Pension and Welfare Benefits Administration  
Room N-563B  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210

**Re: Case Western Reserve University Deferred Compensation Plan**

Dear Secretary:

Pursuant to Section 2520.104-23 of the Department of Labor's Regulations, this letter will serve as notice that with respect to the Case Western Reserve University Deferred Compensation Plan (the "Plan"), the undersigned intends to utilize the alternative form of compliance with the reporting and disclosure requirements of Part I of Title I of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"), which alternative form of compliance is provided in the aforesaid Regulations Section:

Pursuant to Regulations Section 2520.104-23(b), the following information is provided:

1. Name and Address of Employer: Case Western Reserve University, 10900 Euclid Avenue, Cleveland, Ohio 44106-7020.
2. Employer's Employer Identification Number: 34-1018992.
3. The Employer hereby declares that it maintains the Plan primarily for the purpose of providing deferred compensation for select management or highly compensated employees within the meaning of Sections 201(2), 301(a)(3) and 401(a) of ERISA.
4. The Employer hereby states that as of the date of this letter, it maintains no other plan(s) primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.

NOV-07-02 THU 12:56 PM CWRU BENEFITS & RECORDS  
OCT-31-2002 THU 11:45 AM CONTROLLER'S OFFICE

FAX NO. 216 368 3582

P. 03

FAX NO. 2163683797

P. 03

10/31/2002 11:35 FAX

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Secretary of Labor  
October 9, 2002  
Page 2

Pursuant to Regulations Section 2520.104-23(b)(2), the Employer will provide Plan documents, if any, to the Secretary of Labor upon request as required by Section 104(a)(1) of ERISA.

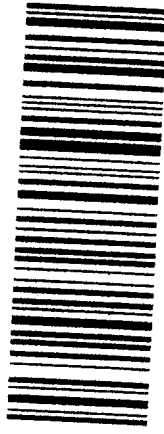
Very truly yours,

Case Western Reserve University

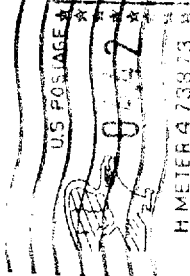
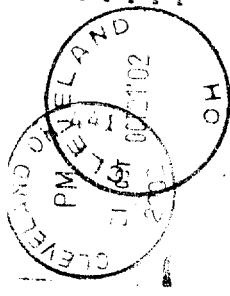


V. P. Costello

(Title)



7001 2510 0006 2982 2933



Secretary of Labor  
Top Hat Plan Exemption  
Pension and Welfare Benefits Administration  
Room N-5638  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210

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