

HARRIS & HARRIS GROUP, INC.

U.S. DEPT. OF LABOR
PWSA/PUBLIC DISCLOSURE
01 JUL 12 PM 1:44

RACHEL M. PERNIA
CONTROLLER

2520052091999

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: Alternative Method of Compliance for Pension Plan for Selected Employees

To Whom It May Concern:

This report is being filed by Harris & Harris Group, Inc. (the "Company") pursuant to Department of Labor regulation 29 C.F.R. Section 2520.104-23 to comply with the reporting and disclosure requirements of Part 1 of Title I of the Employee Retirement Income Security Act of 1974, as amended (ERISA). This report is filed in respect of the following unfunded pension plan maintained by the Company for a highly compensated employee of the Company:

Deferred Compensation Agreement with Charles E. Harris (the "Plan")

The other Company information required under 29 C.F.R. Section 2520.104-23 is set forth below:

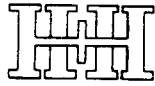
Tax Identification Number: 13-3119827
Address: One Rockefeller Plaza
Suite 1430
New York, New York 10020
Number of Plan participants: 1

The Company maintains the Plan for the purpose of providing deferred compensation for a highly compensated management employee.

Kindly acknowledge receipt of this filing by signing and returning to the sender the enclosed copy of this statement, which is intended to serve as acknowledgement of receipt of this statement. A stamped, self-addressed envelope is enclosed for your convenience.

Sincerely yours,

Received by the DOL



HARRIS & HARRIS GROUP, INC.

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U.S. POSTAGE

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HARRIS & HARRIS GROUP, INC.
ONE ROCKEFELLER PLAZA
ROCKEFELLER CENTER
NEW YORK, NY 10020

PENSION & WELFARE BENEFITS ADMIN.
ROOM N-5638
U S DEPT OF LABOR
200 CONSTITUTION AVE. N.W.
WASHINGTON DC. 20210