

**H.O. PENN MACHINERY COMPANY, INC.**  
**REPORTING AND DISCLOSURE COMPLIANCE STATEMENT**

07 DEC 17 AM 4:23

In compliance with Section 110 of the Employee Retirement Income Security Act of 1974 ("ERISA") and the Regulations thereunder, found in Section 2520.104-23, H.O. Penn Machinery Company, Inc. ("H.O. Penn") is filing this Reporting and Disclosure Compliance Statement and in connection herewith, provides the following information.

EMPLOYER:	H.O. Penn Machinery Company, Inc.
ADDRESS:	122 Noxon Road Poughkeepsie, New York 12603
EMPLOYER IDENTIFICATION NUMBER	13-1158790
PLAN NAMES:	H.O. Penn Machinery Company, Inc. Capital Appreciation Bonus Plan
NUMBER OF PLANS:	One
NUMBER OF EMPLOYEES PARTICIPATING IN EACH PLAN	Seven

H.O. Penn maintains the above-named unfunded Plan primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.

H.O. Penn will provide the Plan documents to the Secretary of Labor upon request, as required by Section 104(a)(1) of ERISA.

H.O. Penn Machinery Company, Inc.  
As Plan Administrator

By: C.E. Thomas

Title: Chairman & CEO

