

Quarles & BradyLAP
EBSA/PUBLIC DISCLOSURE

2009 OCT -6 AM 6:36

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September 28, 2009

**CERTIFIED MAIL -
RETURN RECEIPT REQUESTED**Top Hat Plan Exemption
Employee Benefits Security Administration
Room N-1513
U.S. Department of Labor
200 Constitution Avenue NW
Washington D.C. 20210**RE: Top Hat Filing**

Dear Madam or Sir:

On behalf of Schwaab, Inc. and pursuant to the provisions of Department of Labor regulations at 29 C.F.R. Section 2520.104-23, you are hereby notified that the employer (named in item #1) maintains a plan (identified in item #2) primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees. Item #3 sets out the number of deferred compensation plans maintained by the employer and the approximate number of participants in each plan as of the date of this letter.

1. Name, Address and Employer Identification Number of Employer:Schwaab, Inc.
11415 W. Burleigh Street
Milwaukee, WI 53222-3217

EIN: 39-0602450

2. Name of the Plan: Schwaab, Inc. Non-Qualified 401(k) Retirement Plan3. Number of Plans and Number of Employees in Each Plan: The employer currently maintains one deferred compensation plan in which there is one covered employee.

A copy of the plan document will be provided to the Department of Labor upon request.

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Please call or write the undersigned if you have any questions or require any additional information.

Very truly yours,

QUARLES & BRADY LLP

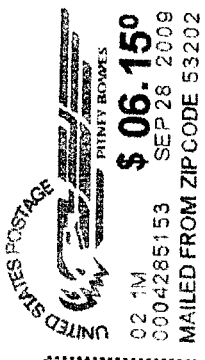
A handwritten signature in black ink, appearing to read 'Marla Anderson', written over the printed name below.

Marla Anderson



7099 3400 0008 0274 6144

East Wisconsin Avenue
auke, Wisconsin 53202-4497



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TOP HAT PLAN EXEMPTION
EMPLOYEE BENEFITS SECURITY ADMINISTRATION
ROOM N-1513
US DEPARTMENT OF LABOR
200 CONSTITUTION AVENUE NW
WASHINGTON DC 20210

RST CLASS MAIL