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THE FINANCIAL SERVICES ROUNDTABLE

Financing America's Economy

1001 PENNSYLVANIA AVE., NW
SUITE 500 SOUTH
WASHINGTON, DC 20004
TEL 202-289-4322
FAX 202-628-2537

RICHARD M. WHITING
EXECUTIVE DIRECTOR &
GENERAL COUNSEL
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June 10, 2011

SENT VIA FEDERAL EXPRESS - SIGNATURE REQUIRED

Top-Hat Plan Exemption
Employee Benefits Security Administration
U.S. Department of Labor
Room N-1513
200 Constitution Avenue, N.W.
Washington, D.C. 20210

Re: The Financial Services Roundtable 457(b) Plan

Dear Sir/Madam:

Pursuant to Department of Labor Regulation 2520.104-23, this statement represents the alternate method of complying with Part 1 of Title I of the Employee Retirement Income Security Act of 1974 with respect to the above-referenced "top-hat plan." The plan is maintained "primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees."

The employer is: The Financial Services Roundtable
1001 Pennsylvania Avenue, N.W. Suite 500 South
Washington, DC 20004
EIN: 36-0753125

The employer maintains one (1) top-hat plan. The total number of employees covered by all plans is eight (8).

Respectfully submitted,

Richard M. Whiting

Richard M. Whiting
Executive Director & General Counsel

ES&A/PUBLIC DISCL. 05/11
JUN 13 PM 4:08

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