

**Ziegler**

EBSA/PUBLIC DISCLOSURE

2011 SEP 16 PM 3:08

September 14, 2011

200 South Wacker Drive  
Suite 2000  
Chicago, IL 60606Phone: 866-Ziegler  
Toll Free: 866 943 4537  
Fax: 312 596 1697[www.Ziegler.com](http://www.Ziegler.com)**UPS DELIVERY RETURN RECEIPT REQUESTED**Top Hat Plan Exemption  
Employee Benefits Security Administration  
Room N-1513  
U.S. Department of Labor  
200 Constitution Avenue NW  
Washington, DC 20210RE: Notice of Plan of Deferred Compensation/B.C. Ziegler and Company Deferred  
Performance Bonus Plan

To the Secretary of Labor:

In compliance with the requirements of the alternative method of reporting and disclosure under Part 1 of Title I of the Employee Retirement Income Security Act of 1974 for unfunded deferred compensation plans for a select group of management or highly compensated employees, specified in Department of Labor Regulations, 29 C.F.R. Section 2520.104-23, the following information is provided by the undersigned employer.

## 1. Name and Address of Employer:

B.C. Ziegler and Company  
200 S. Wacker Drive  
Chicago, IL 606062. The Employer's Federal Employer Identification Number (EIN) is:  
39-0727640

## 3. The Employer has adopted and maintains the B.C. Ziegler and Company Deferred Performance Bonus Plan ("Plan") a plan of deferred compensation primarily for the purpose of providing deferred compensation to a select group of financial advisors. The Plan was made effective June 2, 2011.

4. There are currently no participants in the Plan.
5. The Employer also maintains a Voluntary Deferred Bonus Plan that currently covers six (6) employees.

Thank you for your assistance in this matter.

Very truly yours,

  
Angelique A. David  
Senior Managing Director  
General Counsel & Corporate Secretary

**UPS CampusShip: View/Print Label**

- 1. Print the label(s):** Select the Print button on the print dialog box that appears. Note: If your browser does not support this function select Print from the File menu to print the label.
- 2. Fold the printed label at the solid line below.** Place the label in a UPS Shipping Pouch. If you do not have a pouch, affix the folded label using clear plastic shipping tape over the entire label.

**3. GETTING YOUR SHIPMENT TO UPS**

**Customers without a Daily Pickup**

Schedule a same day or future day Pickup to have a UPS driver pickup all your CampusShip packages.


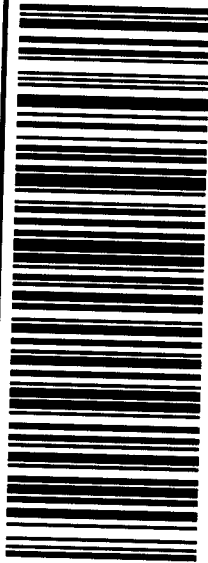

Hand the package to any UPS driver in your area.

Take your package to any location of The UPS Store®, UPS Drop Box, UPS Customer Center, UPS Alliances (Office Depot® or Staples®) or Authorized Shipping Outlet near you. Items sent via UPS Return Services(SM) (including via Ground) are also accepted at Drop Boxes. To find the location nearest you, please visit the Resources area of CampusShip and select UPS Locations.

**Customers with a Daily Pickup**

Your driver will pickup your shipment(s) as usual.

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<p>MICHAELINE GLASCOTT 312-596-1659 ZIEGLER COMPANIES 200 S. WACKER DRIVE CHICAGO IL 60606</p> <p><b>SHIP TO:</b> TOP HAT PLAN EXEMPTION 312-596-1659 EMPLOYEE BENEFIT'S SECURITY ADMIN ROOM N-1513 U.S. DEPARTMENT OF LAW 200 CONSTITUTION AVENUE NW WASHINGTON DC 20210-0001</p>	<p><b>0.0 LBS LTR</b></p> <p><b>1 OF 1</b></p>	<p><b>MD 201 9-74</b></p> 	<p><b>UPS 2ND DAY AIR</b></p> <p><b>2</b></p> <p>TRACKING #: 1Z 9R8 8W9 02 9401 0862</p> 
<p><b>BILLING: P/P</b></p> <p>Dept Code: R990</p>		 <p>CS 13.6.08. WK0270 16.0A 07/2011</p>	