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BUSINESS AND PERSONAL RESOURCE MANAGEMENT

December 4, 2012

VIA OVERNIGHT DELIVERY

Top Hat Plan Exemption
Pension Welfare Pension Administration
Room N-5644
US Department of Labor
200 Constitution Ave., N.W.
Washington, DC 20210

EBSA/PUBLIC PROTECT
2012 DEC 17 PM 3:04

RE: RIA Compliance Consultants, Inc.

Gentleman:

Enclosed are two original signed Alternative Reporting and Disclosure Statements for Pension Plans for Certain Selected Employees for filing on behalf of our client, RIA Compliance Consultants, Inc.

We would appreciate your returning a date stamped copy to us in the envelope provided. Thank you for your assistance.

Sincerely,

Gordon Keator
Senior Executive Benefits Plan Administrator

GK/rb

Enclosure

cc: Mr. Bryan Hill, President – RIA Compliance Consultants, Inc

**ALTERNATIVE REPORTING AND DISCLOSURE STATEMENT
FOR PENSION PLANS FOR CERTAIN SELECTED EMPLOYEES**

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 or insured pension 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.

Name and Address of Employer:

RIA Compliance Consultants, Inc.
209 S 19th St, Suite 640
Omaha, NE 68102

Employer Identification Number:

20-8008493

RIA Compliance Consultants, Inc. maintains a Plan primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.

Name of Plan: Supplemental Executive Benefit Plan

Number of Employees: 3

Dated: December 4, 2012

RIA Compliance Consultants, Inc.

By X B Hill
President



11516 MIRACLE HILLS DRIVE, SUITE 100
OMAHA, NEBRASKA 68154

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PENSION WELFARE PENSION ADMINISTRATION
ROOM N-5644
US DEPARTMENT OF LABOR
200 CONSTITUTION AVE NW
WASHINGTON DC 20210