



CU Investment Solutions LLC™

8500 W. 110th Street
Suite 650
Overland Park, KS 66210
Fax: 913.220.2822

Member FINRA • Member SIPC

December 11, 2012

Top Hat Plan Exemption
Employee Benefits Security Administration
Room N-1513
US Department of Labor
200 Constitution Avenue, NW
Washington, DC 20210

2012 DEC 19 PM 12:59
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To Whom It May Concern:

CU Investment Solutions, LLC (ISI) has executed a deferred compensation agreement under Section 409(a) of the Internal Revenue Code, effective September 30, 2012. In accordance with ERISA Section 104 (Regulation 2520.140-23), the following provides the top hat plan statement disclosure to the Secretary of Labor:

Company	CU Investment Solutions LLC
Address	8500 W. 110 th Street, Suite 650 Overland Park, KS 66210
EIN	#48-106-1886
Purpose	Providing deferred compensation for President/CEO, Mr. Michael Doherty
# of Plans	One
# of Employees	One

If you have any questions or require any further documentation for this plan, my contact information is provided below.

Sincerely,

Amy I. Doll
Chief Financial Officer
CU Investment Solutions LLC
913-912-5233
adoll@cu-isi.org



CU Investment Solutions LLCTM
8500 W. 110th Street, Suite 650
Overland Park, KS 66210

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