

**III MARKS
BAUGHAN**

December 19, 2014

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

RE: Top Hat Plan Exemption

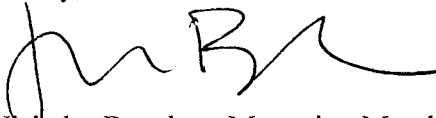
Dear Secretary:

The purpose of this letter is to provide alternative single filing compliance with reporting and disclosure requirements regarding Non-Qualified Top Hat Plans under Part 1 of Title 1 of the Employee Retirement Income Security Act of 1974. Pursuant to Regulation Section 2520.104-23(b), we provide the following information:

1. Employer Name: Marks Baughan Securities LLC
2. Employer Address: 1100 East Hector St., Suite 323, Conshohocken, PA 19428
3. Employer EIN: 20-0855859
4. The Plan is maintained primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.
5. Number of Plans: Two
6. Number of Employees
in each Plan(s): Four

The Employer will provide plan documents, if any, to the Secretary upon request as required by Section 104(a)(1) of ERISA.

Sincerely,



J. Nicholas Baughan, Managing Member
Marks Baughan Securities LLC
NB:jb

Marks Baughan Securities LLC
“Top Hat” Non-qualified Deferred Compensation Plan

The Plan is maintained primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees. In 2014, employees had compensation deferred under the plan as follows:

Employee	Payable 12/1/15	Payable 12/1/16
Christopher Akinrinade	\$ 5,952	\$ 5,952
Christopher Rose	\$ 47,325	\$ 47,325
Christian Skoff	\$ 69,825	\$ 69,825
William Takeuchi	\$ 39,825	\$ 39,825
Total	\$162,927	\$162,927

The amounts payable at 12/1/15 and 12/1/16 are subject to the employees continued employment with Marks Baughan Securities, LLC on these vesting dates.

Pursuant to Regulation Section 2520.104-23(b), Marks Baughan Securities, LLC provided the certain information to the Employee Benefits Security Administration to comply with the alternative single filing compliance with reporting and disclosure requirements regarding Non Qualified Top Hat Plans under Part 1 of Title 1 of the Employee Retirement Income Security Act of 1974.

From: (610) 941-5647
Jane Beier
Marks Baughan Securities
1100 E. Hector St
Suite 323
Conshohocken, PA 19428

Origin ID: KPDA



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Top Hat Plan Exemption
Employee Benefits Security Admin.
US Dept of Labor-Room N-1513
200 Constitution Avenue, N.W.
WASHINGTON, DC 20210

Ref # William Takeuchi
Invoice #
PO #
Dept #

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** 2DAY **

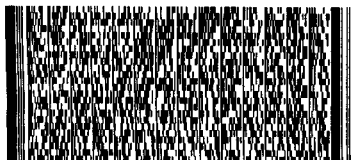
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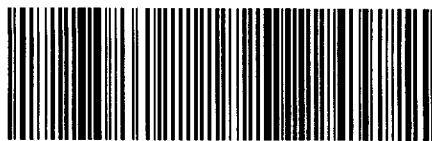
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