

WHITEMAN
OSTERMAN
& HANNA LLP

Attorneys at Law
www.woh.com

One Commerce Plaza
Albany, New York 12260
518.487.7600 phone
518.487.7777 fax

Scott D. Shimick
Of Counsel
518.487.7678 phone
sshimick@woh.com

June 22, 2015

Top Hat Plan Exemption
Pension & Welfare Benefits Administration
Room N-5644
U.S. Department of Labor
200 Constitution Avenue NW
Washington, DC 20210

Certified Mail
Return Receipt Requested

RECEIVED
JUL 29 PM 4:00

Re: NanoPharmaceuticals LLC

Dear Sir or Madam:

Pursuant to Department of Labor Regulation 2520.104-23, we are filing this notice of an unfunded welfare benefit plans. The information required is as follows:

The employer's name and address is:

NanoPharmaceuticals LLC
1 Discovery Drive
Rensselaer, New York 12144

NanoPharmaceuticals LLC's Federal Employer Identification number is 46-3161463.

The NanoPharmaceuticals LLC 2015 Common Membership Unit Option Plan is a deferred compensation plan for a select group of highly paid key service providers.

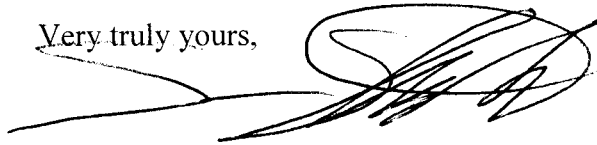
The employer has no other unfunded welfare benefit plans and, presently, the plan covers five service providers.

The above-referenced law firm, Whiteman Osterman & Hanna LLP, will provide copies of the plan document upon the request of the Secretary of Labor.

If further information or copies are required, please contact the undersigned.

Scott D. Shimick
Of Counsel
518.487.7678 phone
sshimick@woh.com

Very truly yours,

A handwritten signature in black ink, appearing to be 'S. Shimick', written over a horizontal line.

Scott D. Shimick

SDS/sek

cc: Mr. Michael Rosenthal

CERTIFIED MAIL

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7015 0640 0007 2310 9649

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