

# UAB MEDICINE

UNIVERSITY OF ALABAMA  
Health Services Foundation  
Finance Office

June 14, 2016

2520161890070

**Via Certified Mail, 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 20210

2016 JUN 23 PM 3:10  
UAB MEDICINE

Re: University of Alabama Health Services Foundation, P.C.  
Section 457(f) Deferred Compensation Plan

Dear Sir or Madam:

Pursuant to 29 C.F.R. § 2520.104-23, the University of Alabama Health Services Foundation, P.C. files this statement in order to satisfy the alternative method for complying with the reporting and disclosure requirements of Part 1 of Title I of the Employee Retirement Income Security Act of 1976 for certain pension plans maintained by an employer for a select group of management or highly compensated employees for which benefits are paid as needed solely from the general assets of the employer. Accordingly, the following information is furnished:

1. Name and address of employer:

University of Alabama Health Services Foundation, P.C.  
500 22<sup>nd</sup> Street South  
Birmingham, AL 35233

2. Employer identification number of employer:

EIN: 63-0649108

3. University of Alabama Health Services Foundation, P.C. maintains the University of Alabama Health Services Foundation, P.C. Section 457(f) Deferred Compensation Plan primarily for a select group of management or highly compensated employees.

4. Number of plans provided for a select group of management or highly compensated employees is : Three (3).
5. Currently there is one (1) employee participating in the University of Alabama Health Services Foundation, P.C. Section 457(f) Deferred Compensation Plan.

Currently there are 252 employees participating in the University of Alabama Health Services Foundation, P.C. 2003 Section 457(b) Deferred Compensation Plan.

Currently there are 118 employees participating in the University of Alabama Health Services Foundation, P.C. Restated Deferred Compensation Plan.

Should any plan documents be required, we will furnish them upon request, as required by ERISA § 104(a)(1), 29 U.S.C. § 1024(a)(1).

Sincerely,



Michael F. Heckman  
Chief Financial Officer  
University of Alabama Health Services Foundation, P.C.

203960

**UNIVERSITY OF ALABAMA  
HEALTH SERVICES FOUNDATION, P.C.**

*A Member of the UAB Health System*  
Office of Finance  
P.O. Box 55407 • Birmingham, Alabama 35255-5407

7002 0600 0000 0990 2002 7774



CERTIFIED MAIL



US POSTAGE PINEY BOWES  
ZIP 35233  
02 1W  
0001392312 JUN 14 2016  
**\$ 006.46<sup>5</sup>**

**Top Hat Plan Exemption  
Employee Benefits Security Administration  
Room N-1513  
US Dept of Labor  
200 Constitution Ave., NW  
Washington, DC 20210**