

**Alternative Reporting And Disclosure Statement
For Nonqualified Deferred Compensation Plans**

To: U.S. Department of Labor
Employee Benefits Security Administration
Top Hat Plan Exemption
200 Constitution Ave. N.W., Room N-1513
Washington, DC 20210

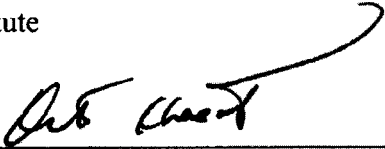
2520162970026

In compliance with the requirements of the alternative method of reporting and disclosure under Part I of Title I of the Employee Retirement Income Security Act of 1974 for un-funded or insured pension plans for a select group of management or highly compensated employees, specified in Department of Labor Regulations, 29 CFR Sec. 2520.104-23, the following information is provided by the undersigned administrator:

1. The Name of the Employer is: The Aspen Institute
2. The mailing address of the Employer is: The Aspen Institute
P.O. Box 222
Queenstown, MD
21658-0222
3. The Employer Identification Number (EIN) is: 84-0399006
4. The above named Employer maintains a Plan primarily for the purpose of providing deferred compensation benefits for a select group of management or highly compensated employees.
5. Name of the Plan: The Aspen Institute Section 457(f) Deferred Compensation Plan
6. Number of Eligible Employees in the Plan: One (1)
7. The Employer will provide a copy of the agreement(s) to the office of Employee Benefits Security Administration upon request.

The Aspen Institute

By: _____


Namita Khasat
Executive Vice President,
Finance and Administration

Dated: _____

9/22/16

GROOM LAW GROUP

David C. Kaleda
(202) 861-0166
dkaleda@groom.com

September 22, 2016

U.S. Department of Labor
Employee Benefits Security Administration
Top Hat Plan Exemption
200 Constitution Ave. N.W., Room N-1513

Re: The Aspen Institute - Top Hat Plan Exemption Filing

Dear Sir or Madam:

Please find enclosed the top hat plan exemption filing for The Aspen Institute Section 457(f) Deferred Compensation Plan maintained primarily for the purpose of providing deferred compensation benefits for a select group of management or highly-compensated employees.

If you have any questions, please contact me by phone at (202) 861-0166 or by email at dkaleda@groom.com.

Sincerely,



David C. Kaleda

cc: Lisa Zhu, Vice President, Human Resources

2016 SEP 20 PM 1:46
U.S. DEPARTMENT OF LABOR

CERTIFIED MAIL



7015 1520 0001 5376 3439

FIRST CLASS

NOV 23 2010 306 943



First Class Mail

GROOM LAW GROUP

TO:

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

1701 Pennsylvania Ave., N.W. • Washington, D.C. 20006-5811

FIRST CLASS

FIRST CLASS

FIRST CLASS

FIRST CLASS

FIRST CLASS

FIRST CLASS

FIRST CLASS

FIRST CLASS

FIRST CLASS

FIRST CLASS