

**TOP-HAT PLAN EXEMPTION STATEMENT<sup>1</sup>**

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

2520190450032

Employer Name: The Swedish Program in Organizational Studies and Public Policy, Inc.

Address: 2654 Sunset Avenue, Utica, NY 13502

Employer EIN: 04-2973109

The Employer maintains a Plan (or Plans) primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees.

Number of Plans: 2

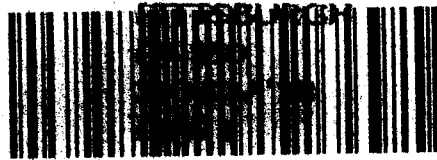
Number of Employees in Plan(s): 1

ESBA/PUBLIC DISCLOSURE  
2018 NOV 30 PM 1:48

<sup>1</sup> To avoid an annual return (Form 5500) filing requirement, the employer must submit this statement to the DOL no later than 120 days after the plan becomes subject to Part 1 of Title 1 of ERISA. DOL Reg. §2520.104-23(b). A plan generally becomes subject to Part 1 of the Title 1 of ERISA on the later of the date of adoption or the effective date of the plan. See DOL Reg. §2520.104b-2(a)(3). Only one statement is required per employer maintaining the plan or plans.

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