



Carson Group  
13321 California Street  
Dodge Plaza, First Floor  
Omaha, NE 68154

2520193380053

**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

Re: Carson Incentive Plan

Dear Sir/Madam:

This letter is pursuant to U.S. DOL Regulations Section 2520.104-23(b) and is intended to serve as the alternative method of compliance with the reporting and disclosure requirements under Part I of Title I of the Employee Retirement Income Security Act of 1974, as amended, for an unfunded pension plan for a select group of management or highly compensated employees. This letter is to inform you of the following unfunded pension plan:

1. Employer: Carson Group Holdings, LLC.
2. Employer Address: 13321 California Street, Suite 100, Omaha, NE 68154
3. Employer EIN: 37-1808406
4. Plan Name: Carson Incentive Plan ("Plan"). The employer maintains this Plan primarily for the purpose of providing deferred compensation for a select group of management or highly compensated employees. The benefits are paid from the general assets of the Employer. Approved and implemented on July 30, 2019.
5. There are twenty-eight (28) employees participating in the Plan.
6. A copy of the Plan document will be provided upon request.

Very truly yours,

A handwritten signature in black ink, appearing to read "David Screnar", with a long horizontal flourish extending to the right.

David Screnar  
Chief Financial Officer

cc: Joan M. Cannon

TOLL FREE 888.321.0808 carsongroup.com



13321 California Street  
 Dodge Plaza, First Floor  
 Omaha, NE 68154

**Wealth Designed.  
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**CERTIFIED MAIL**



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