

May 23, 2019

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

2520200500052

Re: Smith Financial Group Nonqualified Deferred Compensation Plan

To the Secretary of Labor:

In compliance with the requirements of the alternative method of reporting and disclosure under Part 1 of Title I of the Employee Retirement Income Security Act of 1974 for unfunded pension plans for a select group of management or highly compensated employees, specified in Department of Labor Regulations, 29 C.F.R. § 2520.104-23, the following information is provided by the undersigned employer.
Name and Address of Employer:

Smith Financial Group
3777 40th Avenue Northwest
Rochester, MN 55901

Employer Identification Number: 41-1939985
Smith Financial Group, 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 and
Participants in Each Plan: **One Plan covering up to 10 employees**

Dated 11-1, 2019

Smith Financial Group


By: Michael Smith
Its: President

 **Northwestern Mutual**
Wealth Management Company

Michael Smith CLU®, ChFC®
3777 40th Ave NW Ste 202
Rochester, MN 55901-1772

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