

**THE JOFFREY BALLET 457(B) DEFERRED COMPENSATION PLAN**

**TOP-HAT PLAN EXEMPTION STATEMENT**

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

Re: ERISA REPORTING AND DISCLOSURE STATEMENT

2520200500061

To the Secretary of Labor:

In order to comply with the requirements of the alternative reporting and disclosure method under ERISA, Title I, Part 1, as provided for an unfunded or insured pension plan for a select group of management or highly compensated employees in D.O.L. Reg. Sec. 2520.104-23, the following information is provided by the undersigned plan administrator:

The name of the Employer is: The Joffrey Ballet

The Employer's mailing address is: 10 E. Randolph Street

Chicago, Illinois 60601-3617

The Employer's federal identification number (EIN) is: 36-4009741

The plans of employer and the number of participants covered in each plan is:

Plan Name: The Joffrey Ballet 457(b) Deferred Compensation Plan

Plan Effective Date: November 1st, 2019

Plan Adoption Date: 10/17/2019

Number of Participants: 3

(specify plan, effective date and number of employees covered)

The above-named employer maintains this plan primarily for the purpose of providing nonqualified deferred compensation benefits to a select group of management or highly compensated employees. The employer will provide a copy of the agreement to the Secretary of Labor upon request.

Employer: The Joffrey Ballet

By: [Signature]

Date: 11/20/2019

The Joffrey Ballet  
10 E Randolph Street  
Chicago, IL 60601

S SUBURBAN  
IL 604  
22 NOV '19  
PM 5 1

NOV 22 2019  
PM 5 1

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

20210- [Barcode]