

STEINBERG INSTITUTE 457(B) PLAN
TOP-HAT PLAN EXEMPTION STATEMENT

2520220070035

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

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: Steinberg Institute

The Employer's mailing address is: 1121 L Street Ste. 300

Sacramento, California 95814

The Employer's federal identification number (EIN) is: 81-4361691

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

Plan Name: Steinberg Institute 457(b) Plan

Plan Effective Date: January 1, 2021

Plan Adoption Date: 12/16/2021

Number of Participants: 1

(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: Steinberg Institute

By: M. Muritt

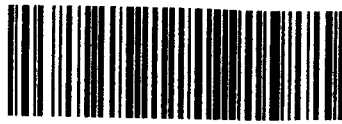
Date: 12/22/2021

TO THE PLAN ADMINISTRATOR

The following Administrative Forms have been included because they are either required under the Plan or by law, or they are necessary to properly administer the Plan. Below are instructions for the use of these forms.

A. TOP-HAT EXEMPTION STATEMENT

A tax-exempt organization must maintain a 457 plan as a "top-hat plan" within the meaning of ERISA to avoid application of certain ERISA provisions that are inconsistent with the requirements of Code §457. The employer must file this statement to exempt the top-hat plan from ERISA Title I reporting and disclosure requirements. 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).



7007 3020 0000 1723 1784

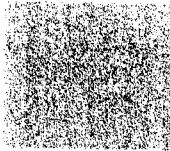
NEOPOST FIRST CLASS MAIL

12/29/2021

USPS \$008.16⁰⁰



ZIP 95814
041M1027937



1545 River Park Dr.
Suite 325
Sacramento, CA
95815

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

2021

2021

2021