

2520100070332

EBSA/PUBLIC DISCLOSURE

TOP-HAT PLAN EXEMPTION STATEMENT¹

2009 OCT 20 AM 7:00

Top-Hat Plan Exemption
EBSA
Room N-1513
U.S. Department of Labor
200 Constitution Ave., NW
Washington, D.C. 20210

Employer Name: Ziff Brothers Investments, LLC

Address: 350 Park Avenue, 11th Floor, New York, NY 10002

Employer EIN: 13-3810050

Name of Plan:² Ziff Brothers Investments, LLC Top-Hat Plan

The Plan is maintained for select management or highly compensated employees.

Number of Plans: 1

Number of Employees in Plan(s): 1

¹ 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 ERISA. DOL Reg. 2520.104-23(b). A plan generally becomes subject to Part 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)

² See DOL Reg. 2520.104.23. Although the regulations do not require the name of the plan, the employer could include the plan name.

CERTIFIED MAIL



7007 0220 0000 0503 0891

ZIFF BROTHERS INVESTMENTS

#12
350 Park Avenue
11th Floor
New York, New York 10022



Top-Hat Plan Exemption
EBSA
Room N-1513
U.S. Dept. of Labor
200 Constitution Ave., NW
Washington, D.C. 20210

