

TOP-HAT PLAN EXEMPTION STATEMENT¹

EBSA/PUBLIC DISCLOSURE

2012 JAN 25 PM 1:59

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

Employer Name: Concepts of Independence, Inc.

Address: 120 Wall Street, Suite 1010
New York, NY 10005

Employer EIN: 51-0239824

The Employer 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: 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 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). Only one statement is required per employer maintaining the plan or plans.



320 West 57th Street
New York, NY 10019



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