

November 15, 2013

2014 JAN -6 PM 4: 3

7565 Irvine Center Drive
Suite 200
Irvine, CA 92618
949.333.2300 (p)
www.trace3.com

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

2520130092511

Re: Trace 3, Inc.

Dear Sir or Madam:

This document constitutes the statement required by 29 C.F.R. Sec. 2520.104-23(a)(1) to be filed with the Secretary of Labor with respect to nonqualified deferred compensation plans maintained by Trace 3, Inc. (the "Company"). The Company has adopted and currently maintains the nonqualified deferred compensation plan for members of a select group of management or highly compensated employees, as described below:

The Company: Trace 3, Inc.
7565 Irvine Center Drive
Suite 200
Irvine, CA 92618
Attention: General Counsel

Employer Tax ID Number: 95-4876514

Name of Plan: Trace 3, Inc.
2013 Stock Appreciation Rights Plan

Number of Plans Maintained: 1

Participants in This Plan: 15

Date Plans Became Subject to Title I: August 1, 2013

TRACE 3. INC.,
A California Corporation

By: 

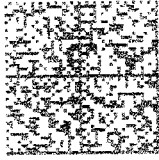
Title: General Counsel

TRACE3

7565 Irvine Center Drive, Suite 200, Irvine, CA 92618



UNITED STATES POSTAGE



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

20210

