

----- Forwarded by Amanda Kirby [REDACTED] on 10/31/2013 01:49 PM -----

From: Richard Kahn [REDACTED]  
To: Amanda Kirby [REDACTED]  
Cc: Paul Morris [REDACTED]  
Date: 10/31/2013 01:47 PM  
Subject: Re: Compliance

your statement is correct that i have not been barred from nyse in april 2012  
i have been at hbrk since its formation 3 years ago and 5 previous years at nysg llc (darren entity)  
thank you

Richard Kahn  
HBRK Associates Inc.  
575 Lexington Avenue, 4th Floor,  
New York, New York 10022

[REDACTED]

On Oct 31, 2013, at 1:43 PM, Amanda Kirby <[REDACTED]> wrote:

Classification: Public

Rich,

Per our conversation you are not the same Richard Kahn who was barred from the NYSE Arca in April of 2012. You have been at your company, HBRK, for 8 years and were not asked by FINRA, on behalf of NYSE Arca, to give testimony.

Best,  
Amanda Kirby

---

<Mail Attachment.gif>

Amanda Kirby  
Associate

Deutsche Bank Trust Company Americas  
345 Park Avenue, 27th Fl  
New York, NY, USA, 10154-0004

[REDACTED]

<Mail Attachment.gif>

---  
This communication may contain confidential and/or privileged information.