



GBSA NTA Questionnaire (Version 1.0) - Level 1

This questionnaire is highly relevant for Deutsche Bank's compliance with the requirements stipulated in the German Bank Separation Act (GBSA). Violation of GBSA prohibitions can be prosecuted as a criminal offense and expose Deutsche Bank to significant penalties and reputational risk. This questionnaire must therefore be completed with the utmost diligence. In case of any questions regarding this questionnaire, please contact your line manager or your local contact at Deutsche Bank's Legal Department.

HBRK Associates, Inc

Name of Client (Required)

Section 1: Proprietary Trading

This section deals with activities of Deutsche Bank Group entities involving the purchase or sale of financial instrument in a principal capacity.

Level 1

Q1. Do the proposed activities involve transactions in financial instruments by a Deutsche Bank Group entity as principal (i.e., not as agent, broker or in any other role as service provider)?

Please indicate YES or NO, and describe the basis for this conclusion in the Comments section as well as by checking the appropriate box in below table with examples.

YES (if the answer is "YES", please proceed to Q2 of this questionnaire for documentation of applicable exclusions or exemptions)

NO (this is permissible trading under GBSA)

Comments

This is an accounting firm and is solely owned by Richard Kahn

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