

Subject: Fw: Compliance [I]  
From: Amanda Kirby <[REDACTED]>  
Date: Thu, 31 Oct 2013 13:50:58 -0400  
To: Jacqueline Lightbody <[REDACTED]>  
Cc: Michael Vila <[REDACTED]>,  
Janice Franklin <[REDACTED]>

Classification: For internal use only

Phew! The Richard Kahn associated with KYC #01133377 is not the same Richard Kahn in the alert. I will attach this to the KYC and resubmit

Best,  
Amanda Kirby

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(Embedded image moved to file: pic26011.gif)

Amanda Kirby  
Associate

Deutsche Bank Trust Company Americas  
345 Park Avenue, 27th Fl  
New York, NY, USA, 10154-0004  
Tel. [REDACTED]  
Fax [REDACTED]  
Email [REDACTED]

(Embedded image moved to file: pic16079.gif)

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

From: Richard Kahn <[REDACTED]>  
To: Amanda Kirby/[REDACTED]/dbcom@DBAMERICAS,  
Cc: Paul Morris/[REDACTED]/dbcom@DBAMERICAS  
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  
tel [REDACTED]  
fax [REDACTED]  
cell [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

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<Mail Attachment.gif>

Amanda Kirby  
Associate

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345 Park Avenue, 27th Fl  
New York, NY, USA, 10154-0004  
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<Mail Attachment.gif>

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