

**From:** "jeffrey E." <jeevacation@gmail.com>

**To:** Richard Kahn <[REDACTED]>

**Subject:** Re: Trade recap: SPX over RTY outperformance option - Southern Trust Company

**Date:** Wed, 25 Jul 2018 14:58:00 +0000

**Inline-Images:** image002.jpg; image001.jpg

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Yes

On Wed, Jul 25, 2018 at 3:56 PM Richard Kahn <[REDACTED]> wrote:

did you approve taking off this trade as i see paul sold for 131k not the 150k he mentioned in email to you..  
please advise  
thank you

Richard Kahn

HBRK Associates Inc.

[575 Lexington Avenue, 4th Floor](#)

[New York, NY 10022](#)

tel [REDACTED]  
[REDACTED]  
[REDACTED]

Begin forwarded message:

**From:** Paul Barrett <[REDACTED]>

**Subject:** One more

**Date:** July 24, 2018 at 3:06:37 PM EDT

**To:** jeffrey E. <jeevacation@gmail.com>

**Cc:** Richard Kahn <[REDACTED]>

We are long an SPX vs Russell outperformance option that expires on August 17<sup>th</sup> . We spent \$143,000 back in early June. Unwind is \$150,000. I would like to take it off. I think unless we get big earnings beats from FB and AMZN, the SPX will likely give back some of the gains vs Small Cap. GOOG had great numbers and the SPX couldn't hold onto the gains.

**Paul Barrett**

Alpha Group Capital LLC

[142 W 57<sup>th</sup> Street, 11<sup>th</sup> Floor, New York, NY 10019](#)  
[REDACTED]  
[REDACTED]



Begin forwarded message:

**From:** "Ens, Amanda" <[REDACTED]>  
**Subject:** RE: Trade recap: SPX over RTY outperformance option - Southern Trust Company  
**Date:** July 25, 2018 at 9:30:59 AM EDT  
**To:** "Paul Barrett" <[REDACTED]>, "rkahn" <[REDACTED]>, Jeanne Brennnan Wiebracht <[REDACTED]>  
**Cc:** "Rothberg, Justin D" <[REDACTED]>, EMEA EQD Settlements <[REDACTED]>

Southern Trust Company sold the SPX/RTY \$10mm outperformance option yesterday for \$131,000. Could you please reply to all agreeing to the \$131,000 amount so that it can be paid to your BofA standard settlement instructions (account ending in [REDACTED], FFC [REDACTED] Southern Trust?)

Thanks,  
Amanda

Amanda Ens  
Director  
Bank of America Merrill Lynch  
Merrill Lynch, Pierce, Fenner & Smith Incorporated  
One Bryant Park, 5th Floor, New York, NY 10036  
Phone: [REDACTED] Mobile: [REDACTED]  
[REDACTED]

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**From:** Ens, Amanda <[REDACTED]>  
**Sent:** Wednesday, June 06, 2018 5:14 PM  
**To:** Paul Barrett ([REDACTED]) <[REDACTED]>; rkahn ([REDACTED]) <[REDACTED]>; Jeanne Brennan <[REDACTED]>  
**Cc:** Rothberg, Justin D <[REDACTED]>; Tome, Christine C <[REDACTED]>; Miller, Allison - NEW YORK NY <[REDACTED]>; EMEA EQD Settlements <[REDACTED]>  
**Subject:** Trade recap: SPX over RTY outperformance option

Southern Trust Company bought \$10mm SPX over RTY ATM outperformance option for 17Aug 2018 expiry for 1.43%

<b>Initial SPX Level</b>	2,772.350
<b>Initial RTY Level</b>	1,675.949

**Premium payable: \$143,000**

Here are our wiring instructions for premium payments to BANA (same as last time):

Bank of America, NA  
New York, NY  
ABA: [REDACTED]  
Swift: [REDACTED]

Beneficiary name:  
Bank of America, NA  
Swift: [REDACTED]

Beneficiary Acct: [REDACTED]

Thanks,  
Amanda

**Amanda Ens**  
Director  
Bank of America Merrill Lynch  
Merrill Lynch, Pierce, Fenner & Smith Incorporated  
One Bryant Park, 5th Floor, New York, NY 10036  
Phone: [REDACTED] Mobile: [REDACTED]  
[REDACTED]

*This is a Sales view, NOT research. All pricing is indicative. For Institutional Investors only.*

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