

**From:** [REDACTED]  
**To:** [REDACTED]  
**Subject:** RE: SF LLC  
**Date:** Friday, May 31, 2019 2:37:40 PM  
**Attachments:** [image001.png](#)

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Hey Rich,

So the "work item" that the processor was working to correct the transfer has been completed. That puts it in queue for this evening to process, and update to reflect on the account this evening. I reviewed the work item myself and it does include the remaining shares to move the remaining full amount of that position.

**Chad Markland**  
Senior Financial Consultant



[www.tdameritrade.com](http://www.tdameritrade.com)



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**From:** Richard Kahn [mailto:[REDACTED]]  
**Sent:** Friday, May 31, 2019 10:12 AM  
**To:** Markland, Chad W  
**Cc:** Jeanne Brennan; Alpha Group Capital  
**Subject:** Re: SF LLC

thank you very much..

**CONFIDENTIAL**

SDNY\_GM\_00012467

EFTA\_00123110

EFTA01268490

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

On May 31, 2019, at 10:58 AM, <[REDACTED]>

[REDACTED] wrote:

Hey Rich,

I'm already on it, been working with my back office for 45 minutes. Found the person that processed it incorrectly, they are now in the process of correcting it. Give me until 12 pm est, and I'll give you a call to status, or I'll call you before then if it is resolved faster than that. I apologize for the inconvenience, I tried to avoid this potential issue by getting ahead of it yesterday. I'll get it taken care of, no worries.

**Chad Markland**  
Senior Financial Consultant

Phone: (212) 492-8888

[www.tdameritrade.com](http://www.tdameritrade.com)

<image001.png>

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SDNY\_GM\_00012468

EFTA\_00123111

EFTA01268491

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**From:** Richard Kahn [mailto: [REDACTED]]  
**Sent:** Friday, May 31, 2019 9:54 AM  
**To:** Markland, Chad W  
**Subject:** Re: SF LLC

<~WRD000.jpg>

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From: 867730320z|Date: 05/31/19 9:53 AMMessage available until 05/30/21.

À i see that only 3,000 of 3,000,000 quantity was transferred  
please advise  
thank you

rich

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



On May 30, 2019, at 11:44 AM, < [REDACTED]>

[REDACTED] wrote:

Hey Rich,

I confirmed with my back office and transfers team, no issues so far with the DTC transfer request submitted 05/29/19. I also had them a note to clarify the quantity just to make sure, but per usual I will keep an eye on it for you now that I'm in the office today and tomorrow. The expectation is that they should get it moving this afternoon.

Feel free to let me know if you have any other questions around it. As a heads up, there is a tiny amount of cash still in the account as well (from interest that posted the same day the wire of the cash went out).

Thank you,

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SDNY\_GM\_00012469

EFTA\_00123112

EFTA01268492

**Chad Markland**

**Senior Financial Consultant**

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[www.tdameritrade.com](http://www.tdameritrade.com)

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**From:** Richard Kahn [<mailto:> ]  
**Sent:** Wednesday, May 22, 2019 8:18 AM  
**To:** Markland, Chad W  
**Cc:** Jeanne Brennan  
**Subject:** SF LLC

can you please look into 3,000,000 of Excelsa bond that never transferred to Schwab..  
thank you

Richard Kahn  
HBRK Associates Inc.  
575 Lexington Avenue, 4th Floor  
New York, NY 10022  
tel 212-971-1306  
fax 212-320-0381  
cell 917-414-7584

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EFTA\_00123113

EFTA01268493