

Subject: Re: Compliance
From: Richard Kahn <[REDACTED]>
Date: Thu, 31 Oct 2013 13:47:30 -0400
To: Amanda Kirby <[REDACTED]>
Cc: Paul Morris <[REDACTED]>

your statement is correct that i have not been barred from nyse in april 2012i 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 10022tel 212-971-1306
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

<Mail Attachment.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]

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