

Asbestos Inspection Report**Page 1 of 1**

Premise # 11 Wall street				Date of Inspection May 22, 2002	
Floor Roof	Zip 10005	Block Block	Lot # Lot #	Boro Code 1	
Inspector Carl Lutchmedial	Badge # A058	Squad # 1	Basis of Inspection WTC		Building Type A
Contractors Name					Pictures no
Address					Sample #
City State Zip					Sample #
Laboratory Name					Building Owner New York Stock Exchange
Address					Address 11 Wall Street
City State Zip					City State Zip NY NY 10005
Contact Person At Site Bruce Motto					Time of Inspection 11 am 12 pm
On arrival Inspection disclosed inspection along with Rajappan Radhakrishnan (DEP), Bruce Motto et al of NYSE conducted an inspection of the roof of the building and found it to be free of WTC debris. The roof did have general debris on it but was atypical of WTC debris. According to Bruce Motto, some of the debris comes from other buildings nearby, or from their maintenance staff who do repairs on the cooling towers etc. Presently, the adjacent building 20 Broad street façade was not cleaned. Bruce said that they conduct regular cleaning of the roof to maintain its cleanliness. He also agreed to send the Department information about the clean-up of the building. No other debris was observed on the building.					

NOV #						Result Code
Nov #						5
NOV #						Supervisor Initial
Nov #						

Boro Code 1 = Manhattan 2 = Bronx 3 = Brooklyn 4 = Queens 5 = Staten Island

Bldg. Type A > 6 Stories B < 6 Stories C - Single Family D - School

E - Hospital F - Public Owned Property

Result Codes 1= Violation Issued 2 = No Violations Issued 3 = No Access

4 = Project Not Started 5 = Project Completed

WTC Visual Survey Form BN# 1078982

Premise Address: 11 Wall Street		
Block: 23	Residential ☐ Commercial ☐	Name of Building:
Lot: 19	Mix Use ☐ Other ☐	
# of Stories:	AKA's:	
Building Owner/Management:		Telephone Number: ()
Name:		FAX: ()
Address:		
On Site Contact:		
Name:		Telephone Number: ()
Building Owner Management Activities		
Interior Survey Performed ☐ Yes ☐ No		
Exterior Survey Performed ☐ Yes ☐ No		
General Clean Up ☐ Yes ☐ No Locations: _____		
ACM Clean Up ☐ Yes ☐ No Locations: _____		
Air Monitoring ☐ Yes ☐ No Locations: _____		
Copies of All Reports and Data Requested ☐ Yes		

Visual Inspection Results:**Facade:**

		Inspected	Debris		
North	☐ N/A	☐ Yes ☐ No	☐ No Visible/Fine Layer	☒ ½ to 1"	☐ > 1"
South	☐ N/A	☐ Yes ☐ No	☐ No Visible/Fine Layer	☐ ½ to 1"	☐ > 1"
East	☐ N/A	☐ Yes ☐ No	☐ No Visible/Fine Layer	☐ ½ to 1"	☐ > 1"
West	☐ N/A	☐ Yes ☐ No	☐ No Visible/Fine Layer	☐ ½ to 1"	☐ > 1"

Facade Description:

+ WINDOWS

Roof

Debris: ☐ No Visible /Fine Layer ☐ ½ to 1" ☐ > 1"

Description: _____

Setbacks N/A ☐

Floor: _____	Debris: ☐ No Visible/Fine Layer	Debris: ☐ ½ to 1"	Debris: ☐ > 1"
Floor: _____	Debris: ☐ No Visible/Fine Layer	Debris: ☐ ½ to 1"	Debris: ☐ > 1"
Floor: _____	Debris: ☐ No Visible/Fine Layer	Debris: ☐ ½ to 1"	Debris: ☐ > 1"
Floor: _____	Debris: ☐ No Visible/Fine Layer	Debris: ☐ ½ to 1"	Debris: ☐ > 1"
Floor: _____	Debris: ☐ No Visible/Fine Layer	Debris: ☐ ½ to 1"	Debris: ☐ > 1"

Comments

Date: 2 / 21 / 2002

Inspection by: Name: AP

Agency: DEP



**Department of
Environmental
Protection**

59-17 Junction Boulevard
Corona, New York
11368-5107

**Joel A. Miele Sr., P.E.
Commissioner**

**Robert C. Avaltroni
Deputy Commissioner**

**Bureau of
Environmental Compliance**
Tel (718) 595-4418
Fax (718) 595-4422

February 27, 2002

Building Owner Name: New York Stock Exchange

Address: 11 WALL ST

NYC

Subject: Joe O'Connor (Chief Engineer)

Dear Sir/Madam:

In September 2001, the New York City Department of Environmental Protection (NYCDEP) and the Department of Health (NYCDOH) advised building owners regarding building maintenance and re-occupancy issues following the collapse of the World Trade Center. The steps included the assessment of building contamination for possible hazardous components, including asbestos.

Today, a visual survey of your building's exterior was conducted as a follow up to DEP's October survey of buildings around the World Trade Center site. At the above referenced site, visible dust accumulations were observed at:

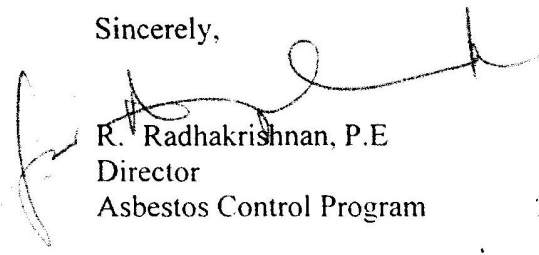
- ☒ building facade(s)
- ☐ setback(s)
- ☐ roof
- ☒ other, windows

Please be advised building owners are responsible for the cleaning of building exteriors, grounds and common areas. Due to changing conditions and continued activity at Ground Zero, building owners should periodically assess the condition of building exteriors and air conditioning systems for cleanliness and may have to periodically re-clean areas. Adherence to proper cleaning methods is important for the protection of public health and the environment. DEP inspectors will be following up on this matter.

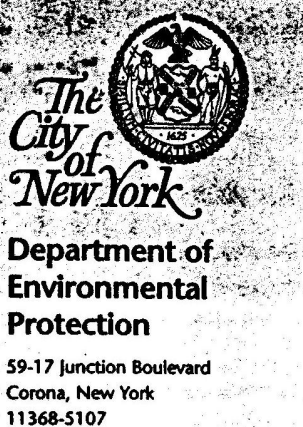
Please provide information regarding your actions to address the dust accumulations by February 27, 2002. Copies of the environmental hazard assessments including bulk sample results, air monitoring results and/or a summary of clean-up activities at the above-referenced site may be faxed to (718) 595-3744 or sent to the NYCDEP Asbestos Control Program at 59-17 Junction Boulevard, 8th floor, Corona, New York 11373-5108.

If you have any questions, you may reach the NYCDEP at (718) 595-3682 during office hours or the 24-hour Help Center at (718) DEP-HELP. NYCDEP staff is available to provide guidance and technical assistance.

Sincerely,


R. Radhakrishnan, P.E.
Director
Asbestos Control Program





Joel A. Miele Sr., P.E.
Commissioner

Robert C. Avaltroni
Deputy Commissioner
Bureau of
Environmental Compliance
Tel (718) 595-4418
Fax (718) 595-4422

February 21, 2002

Building Owner Name: New York Stock Exchange

Address: 11 WALL ST
NYC

Subject: Mr. D. Conway (Chief Engineer)

Dear Sir/ Madam:

In September 2001, the New York City Department and Environmental Protection (NYC DEP) and the Department of Health (NYC DOH) advised building owners regarding building maintenance and re-occupancy issues following the collapse of the World Trade Center. The steps included the professional assessment of building contamination for possible hazardous components, including asbestos, and a retrospective filing, as required, if applicable.

The NYC DEP is hereby requesting copies of the environmental hazard assessments including bulk sample results and air monitoring results and a summary of clean-up activities at the above referenced site. Please forward the requested documents to our offices within FIVE BUSINESS DAYS. They may be faxed to (718) 595-3744 or sent to the NYC DEP Asbestos Control Program at 59-17 Junction Boulevard, 8th floor, Corona, New York 11373-5108.

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Sincerely,

[Signature]
R. Radhakrishnan, P.E.
Director
Asbestos Control Program



www.nyc.gov/dep

(718) DEP-HELP

Page: 1- Document Name: Extra

02/23/02 N.Y.C. DEPARTMENT OF BUILDINGS BISPIQ31
MULTI-AGENCY COMPOSITE PROPERTY & OWNER INFORMATION QUERY
11..... WALL STREET..... 1 MANHATTAN 10005 BIN# 1078982
DCP GEOGRAPHICAL INFORMATION:
WALL STREET 9 - 21 HEALTH AREA : 77 TAX BLK: 23...
BROAD STREET 2 - 6 CENSUS TRACT: 3005 TAX LOT: 19...
NEW STREET 6 - 6 COMMUNITY BD: 101 CONDO :
BROAD STREET 8 - 16 MULTI STRUCT: 2 CUI NO :
DOF OWNER NAME & ADDRESS FROM BILLING FILE: DOF OWNER NAME FROM PROPERTY FILE
OWNER NAME : N Y STOCK EXCH BLDG CO N Y STOCK EXCH BLDG C
CORP. NAME : LPC LANDMARK STATUS: LANDMARK
ADDRESS : 11 WALL ST DOB LOCAL LAW STATUS: NO
NEW YORK NY 10005-1905
DOF BUILDING INFORMATION: TRANS LAND VALUE: 34,000,000
BLDG SIZE; 0195.92 X 0156.50 TAX EXEMPT FLAG : NO
LOT SIZE: 0195.92 X 0156.50 TAX EXEMPT CLASS:
BLDG CLASS : 03 OFFICE BUILDING CITY OWNERSHIP : NO
STORIES : 3 UPDATE DATE : 02/22/02
FOR CITY } MGMT TYPE: MGMT CODE: MGMT CODE NAME:
OWNERSHIP } MGMT HOLDER CODE: MGMT HOLDER CODE NAME:

PF1 =PREV PF2 =MAIN PF7 = NEW ADDRESS PF8 = NEW BLK/LOT PF9 = NEW BIN

Date: 2/23/ 2 Time: 02:50:12 PM

February 17, 2002



The City of New York
Department of Environmental Protection

59-17 Junction Boulevard
Corona, New York
11368-5107

Joel A. Miele Sr., P.E.
Commissioner

Robert C. Avaltroni
Deputy Commissioner

Bureau of
Environmental Compliance
Tel (718) 595-4418
Fax (718) 595-4422

Building Owner Name: NY Stock Exchange

Address: 11 Wall Street
New York, NY 10005

Subject: 11 WALL ST / 8-18 Broad St

Dear Sir/ Madam:

In September 2001, the New York City Department and Environmental Protection (NYC DEP) and the Department of Health (NYC DOH) advised building owners regarding building maintenance and re-occupancy issues following the collapse of the World Trade Center. The steps included the professional assessment of building contamination for possible hazardous components, including asbestos, and a retrospective filing, as required, if applicable.

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If you have any questions, you may reach the Department at (718) 595-3682 during office hours or the 24-hour Help Center at (718) DEP-HELP. DEP staff is available to provide guidance and technical assistance.

Sincerely,

R. Radhakrishnan

R. Radhakrishnan, P.E.

Director

Asbestos Control Program



February 21, 2002



**Department of
Environmental
Protection**

59-17 Junction Boulevard
Corona, New York
11368-5107

**Joel A. Mile Sr., P.E.
Commissioner**

**Robert C. Avaltroni
Deputy Commissioner**
Bureau of
Environmental Compliance
Tel (718) 595-4418
Fax (718) 595-4422

Building Owner Name: New York Stock Exchange

Address: 11 WALL ST
NYC

Subject: Mr. O'Connor (Chief Engineer)

Dear Sir/ Madam:

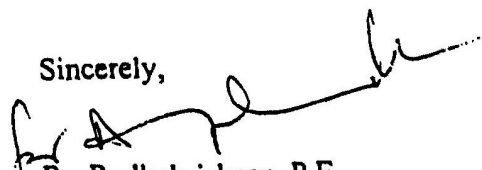
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Sincerely,


R. Radhakrishnan, P.E.
Director
Asbestos Control Program



www.nyc.gov/dep

(718) DEP-HELP

February 27, 2002



**Department of
Environmental
Protection**

59-17 Junction Boulevard
Corona, New York
11368-5107

**Joe A. Miele Sr., P.E.
Commissioner**

**Robert C. Avaltroni
Deputy Commissioner**

**Bureau of
Environmental Compliance**
Tel (718) 595-4418
Fax (718) 595-4422

Building Owner Name: New York Stock Exchange

Address:

11 WALL ST
NYC

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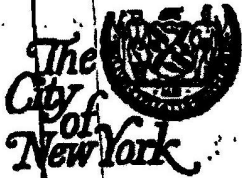


Feb-25-2002 16:32

From-N.Y. Stock Exchange

2126568101

T-653 P.006/006 F-480



The City of New York
Department of Environmental Protection

59-12 Junction Boulevard
 Corona, New York
 11365-5107

Joe A. Miele Sr., P.E.
Commissioner

Robert C. Avatroni
Deputy Commissioner

Bureau of Environmental Compliance
 Tel (718) 595-4418
 Fax (718) 595-4422

Building Owner Name: New York Stock Exchange

Address:

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NYC

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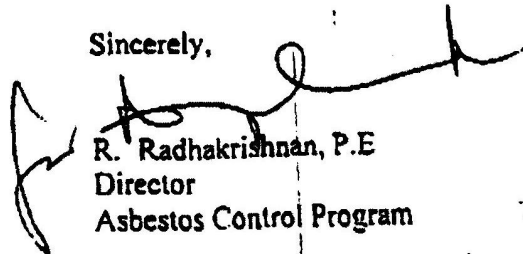
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Sincerely,


R. Radhakrishnan, P.E.
Director
Asbestos Control Program



Feb-25-2002 16:30

From-N.Y. Stock Exchange

2126568101

T-653 P.004/006 F-480

February 17, 2002

The City of New York
Department of Environmental Protection
 59-17 Junction Boulevard
 Corona, New York
 11365-5107

Joel A. Niele Sr., P.E.
 Commissioner

Robert C. Avaltroni
 Deputy Commissioner
 Bureau of Environmental Compliance
 Tel (718) 595-4418
 Fax (718) 595-4422

Building Owner Name: NY Stock Exchange
 Address: 11 Wall Street
New York, NY 10005
 Subject: 11 WALL ST / 3-18 Broad St

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 R. Radhakrishnan, P.E.
 Director
 Asbestos Control Program



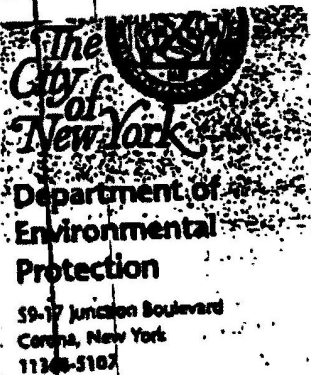
Feb-25-2002 16:31

From-N.Y. Stock Exchange

2126568101

T-653 P.005/006 F-480

February 21, 2002



Joel A. Mile Sr., P.E.
Commissioner

Robert C. Avaltroni
Deputy Commissioner
Bureau of
Environmental Compliance
Tel (718) 595-4418
Fax (718) 595-4422

Building Owner Name: New York Stock Exchange

Address: 11 WALL ST
NYC

Subject: Mr. O'Connor (Chief Engineer)

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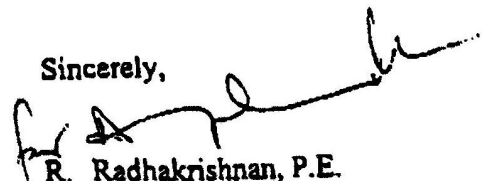
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Sincerely,


R. Radhakrishnan, P.E.
Director
Asbestos Control Program



Feb-25-2002 16:29

From-N.Y. Stock Exchange

2126568101

T-653 P.001/006 F-480

**Date** February 25, 2002**Number of pages**
(including cover sheet)6

FACSIMILE

TO: R. Radhakrishnan, P.E.
Director
Asbestos Control Program
New York City Department of
Environmental Protection

FROM: Geraldine M. Boylan
Associate General Counsel
New York Stock Exchange
Office of the General
Counsel
11 Wall Street
New York, NY 10005
Phone 212-656-5105
Fax Phone 212-656-8101

FAX #: (718) 595-3744

REMARKS: ☐ Urgent ☐ For your review ☐ Reply ASAP ☐ Please Comment

Privileged & Confidential

The information contained in this facsimile transmission may be legally privileged and confidential and is intended for use only by the individual and/or entity named above. If the reader of this transmission is not the intended recipient, or the employee or agent responsible for delivering the message to the intended recipient, you are hereby notified that no further dissemination, distribution or copying of this transmission should be made. If you have received this transmission in error, please notify the sender by telephone immediately and return this original transmission to us at the address indicated above via the U.S. Postal Service. Thank you.

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Feb-25-2002 16:29 From-N.Y. Stock Exchange
*Associate General Counsel
 Office of the General Counsel*

2126568101

T-653 P.002/006 F-480

11 Wall Street
 New York, NY 10005

tel: 212.656.5105
 fax: 212.656.8101
 gboylan@nysc.com



February 25, 2002

Via Facsimile (718) 595-3744 and Regular Mail

R. Radhakrishnan, P.E.
 Director, Asbestos Control Program
 New York City Department of
 Environmental Protection
 59-17 Junction Boulevard – 8th Floor
 Corona, New York 11373-5108

Re: New York Stock Exchange, Inc.

Dear Mr. Radhakrishnan:

The New York Stock Exchange, Inc. ("NYSE") recently received copies of three letters that purport to have been issued by the New York City Department of Environmental Protection ("DEP") and to require the production of confidential, non-public information and documents.

On Sunday, February 17, 2002, an individual who purported to be an employee or agent of the DEP approached a security guard standing outside premises of the NYSE at 11 Wall Street in Manhattan and requested access to the building to inspect certain roofs. Pursuant to established security procedures, the guard did not grant the individual's request. Upon being advised by the guard that the building was owned by the NYSE, the individual completed the date and building owner name and address information at the top of a letter on DEP letterhead and left it with the security guard. The letter requests the production, within five business days, of copies of "the environmental hazard assessments including bulk sample results and air monitoring results and a summary of clean-up activities at the above referenced site."

On or about February 21, 2002, an unidentified individual left two letters dated February 21, 2002, addressed to "Mr. O'Connor [sic] (Chief Engineer)" with a security guard outside premises occupied by the NYSE. The text of the first letter is the same as that contained in the February 17 letter. The second letter states that "a visual survey of your building's exterior was conducted as a follow up to DEP's October survey of buildings around the World Trade Center site" and that "visible dust accumulations were observed" at the building façade and windows. It requests information regarding the NYSE's "actions to address the dust accumulations" by February 27. Copies of the three letters are enclosed for your information.

Feb-25-2002 16:30

From-N.Y. Stock Exchange

2126560101

T-653 P.003/006 F-400

R. Radhakrishnan, P.E.
February 25, 2002
Page 2

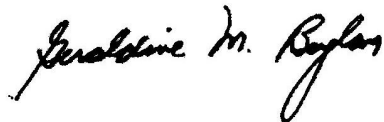
The NYSE fully complies with its obligations under federal, state and local laws. Although the NYSE did not receive the advice by the DEP or the Department of Health regarding building maintenance and re-occupancy issues referred to in the above letters, it did take appropriate measures following the events of September 11 to clean exterior building areas and to assess air quality, and will respond appropriately to any legally-mandated inquiry by DEP.

However, as a matter of consistently-enforced policy, the NYSE does not produce confidential, non-public information, such as that requested by the letters described above, without proper service of a valid subpoena, court order, or similar legal compulsion. In addition to the informal nature of the above-described requests (e.g., copies with the addresses left blank and completed by the persons who delivered them), they were not properly served on the NYSE. The letters were not even referred to counsel until Friday, February 22.

Subpoenas should be served on the Secretary of the NYSE, Darla Stuckey, at 11 Wall Street, New York, New York 10005. To facilitate NYSE's prompt compliance with your Department's requests, please send a courtesy copy of the subpoena or other document to me at the above address. I respectfully request that NYSE be given at least five business days after service of such a request to comply with it.

If you wish to discuss this matter, please call me at the above number.

Very truly yours,



cc: Mr. Bruce Motto