



DB12000P - Deutsche Bank Private Bank

Batch Date: 10/12/2016

Added to Monitoring: 10/12/2016

Alert

Alert Date:

10/12/2016

Person Name: Richard Kahn

Date of Birth:

Address: Country:United States

Tracking ID: GCIS 00000483290

Reporting ID: KYC 01651789

Alerted Entity #: 1 of 4

Alert ID: [REDACTED]

#### Entity Information

Entity ID: [REDACTED]

Riskid: R110375868

Entity Name: Richard Kahn

Address: New York, UNITED STATES

Recent Event(s): • REG - Regulatory Action / ACT - Disciplinary, Regulatory Action, 04/20/2012

Decision Number: 12-ARCA-3 ~~ Respondents including Richard Kahn violated NYSE Arca Equities Rule 10.2(d) by failing to provide testimony as requested by FINRA, on behalf of NYSE Arca. Respondents are permanently barred from NYSE Arca membership unless testimony is scheduled and provided within 120 calendar days from the issuance of this Decision in accordance with the terms of this decision., 04/20/2012, NY Stock Exchange Disciplinary Actions

Event: • REG - Regulatory Action / ACT - Disciplinary, Regulatory Action, 04/20/2012

Decision Number: 12-ARCA-3 ~~ Respondents including Richard Kahn violated NYSE Arca Equities Rule 10.2(d) by failing to provide testimony as requested by FINRA, on behalf of NYSE Arca. Respondents are permanently barred from NYSE Arca membership unless testimony is scheduled and provided within 120 calendar days from the issuance of this Decision in accordance with the terms of this decision., 04/20/2012, NY Stock Exchange Disciplinary Actions

#### Alert Notes

Notes: Richard Kahn, of New York, appears on NY Stock Exchange Disciplinary Actions.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=66818b2ebc904e4b5d3f3d53eb346cc4>

Source Name: RiskConnect, 10/11/2016

Entity URL: • <http://www.nyse.com/regulation/nysearca/1219704561473.html>  
• <http://www.nyse.com/pdfs/12-ARCA-3.pdf>

Sources: NY Stock Exchange Disciplinary Actions, NY Stock Exchange Disciplinary Actions, <http://www.nyse.com/regulation/nyse/1022221394131.html>

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SDNY\_GM\_00087326

**CONFIDENTIAL**

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0020150

EFTA\_00167894

EFTA01295991



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Person Name: Richard Kahn

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Alerted Entity #: 2 of 4

Alert ID: 6471205.11593658.61546436

#### Entity Information

Entity ID: 61546436

Riskid: R19372476

Entity Name: RICHARD JEFFREY KAHN

Address: Florida, UNITED STATES

Recent Event(s): • REG - Regulatory Action / FIM - Fine - More than \$10,000, 06/21/2011

This entity appears on the Florida Office of Financial Regulation list of Final Orders. Richard J. Kahn shall pay an administrative fine of \$20,000 with the submission of this Stipulation and Consent Agreement, 06/21/2011, US Florida Office of Financial Regulation Final Orders

Event: • REG - Regulatory Action / FIM - Fine - More than \$10,000, 06/21/2011

This entity appears on the Florida Office of Financial Regulation list of Final Orders. Richard J. Kahn shall pay an administrative fine of \$20,000 with the submission of this Stipulation and Consent Agreement, 06/21/2011, US Florida Office of Financial Regulation Final Orders

#### Alert Notes

Notes: Richard Jeffrey Kahn, of Florida, appears on Florida Office of Financial Regulation list of Final Orders.

#### Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=6e6eb2a5d59448e75d3f3d53eb346cc4>

Source Name: RiskConnect, 10/11/2016

Entity URL: <https://real.flofr.com/Documents/View.aspx?docGuid=5F712B04-5DC0-466E-A0C2-17F882707D5D&docFileName=0154-sr-5-11.pdf>

Sources: US Florida Office of Financial Regulation Final Orders, US Florida Office of Financial Regulation Final Orders, <https://real.flofr.com/ConsumerServices/SearchLegalDocuments/LDSearch.aspx#/searchLegalDocuments>

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DB-SDNY-0020151

EFTA\_00167895

EFTA01295992



DB12000P - Deutsche Bank Private Bank

Batch Date: 10/12/2016

Added to Monitoring: 10/12/2016

Alert Date: 10/12/2016

Alert

<b>Person Name:</b> Richard Kahn	<b>Date of Birth:</b>
<b>Address:</b> Country:United States	
<b>Tracking ID:</b> GCIS 00000483290	<b>Reporting ID:</b> KYC 01651789

Alerted Entity #: 3 of 4

Alert ID: 6471205.11593658.75766498

**Entity Information**

**Entity ID:** 75766498  
**Riskid:** R112038707  
**Entity Name:** Richard Leroy Kann  
**Alias:** • RICHARD L KAHN  
 • RICK KANN  
**Address:** GOLDEN, Colorado, 80401, UNITED STATES  
**Recent Event(s):** • SEX - Sex Offenses (Rape, Sodomy, Sexual Abuse, Pedophilia) / CVT - Convict, Conviction, 03/11/2013  
 SEXUAL EXPLOITATION/CHILD/POSS MATERIAL, 03/11/2013, Colorado - Sex Offenders  
**Event:** • SEX - Sex Offenses (Rape, Sodomy, Sexual Abuse, Pedophilia) / CVT - Convict, Conviction, 03/11/2013  
 SEXUAL EXPLOITATION/CHILD/POSS MATERIAL, 03/11/2013, Colorado - Sex Offenders  
**Date Of Birth:** 8/14/1961  
**Eye Color:** Brown  
**Hair Color:** Brown  
**Height:** 5'08"  
**Race:** White  
**Scars or Marks:** Missing Finger joint(s) - left hand  
**Sex:** Male  
**Weight:** 220lb  
**Image:**



**Alert Notes**

**Notes:** Richard Leroy Kann aka RICHARD L KAHN, DOB: 8/14/1961, of GOLDEN, Colorado, appears on the list of Colorado - Sex Offenders

**Source Information**

**RDC URL:** <https://grid.rdc.com/wss/entity.html?entityId=7acd1ce3aa8ec1f35d3f3d53eb346cc4>  
**Source Name:** RiskConnect, 10/11/2016  
**Entity URL:** <https://www.colorado.gov/apps/cdps/sor/search/search-detail.jsf?id=XX12445274>  
**Sources:** Colorado - Sex Offenders, Colorado - Sex Offenders, <http://sor.state.co.us/index.cfm?SOR=offender.list>

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Alerted Entity #: 4 of 4

Alert ID: 6471205.11593658.44883229

Entity Information

Entity ID: 44883229

Riskid: R1989168

Entity Name: Richard L. Kahn

Address: Havana, UNITED STATES

Recent Event(s): • DTF - Trafficking or Distribution of Drugs / WTD - Wanted, 07/13/2001

wanted on a charge of calculated criminal drug conspiracy, 07/13/2001, [Peoria Journal Star](#)

Event: • DTF - Trafficking or Distribution of Drugs / WTD - Wanted, 07/13/2001

wanted on a charge of calculated criminal drug conspiracy, 07/13/2001, [Peoria Journal Star](#)

Date Of Birth: 1962

Alert Notes

Notes: Richard L. Kahn, 1962, of Havana, Illinois, was wanted on a charge of calculated criminal drug conspiracy.

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=fed61c75d73e92525d3f3d53eb346cc4>

Source Name: RiskConnect, 10/11/2016

Sources: Peoria Journal Star, MEDIA Article,United States,Headline:Police, fire and courts, <http://global.factiva.com/en/du/article.asp?NAPC=S&AccessionNo=prjs000020010719dx7d000pg>

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