



[REDACTED] - Deutsche Bank Private Bank

Batch Date: 6/16/2017
Added to Monitoring: 06/16/2017

Alert Date: 6/16/2017
Alert

Person Name: Richard Kahn Date of Birth: [REDACTED]
Address: Country: UNITED STATES
Tracking ID: [REDACTED] Reporting ID:

Alerted Entity #: 1 of 2 Risk Priority: Critical Alert ID: [REDACTED]

Entity Information

Entity ID: [REDACTED]
Riskid: [REDACTED]
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, New York 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, New York 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, 06/15/2017
Entity URL: • <http://www.nyse.com/regulation/nysearca/1219704561473.html>
• <http://www.nyse.com/pdfs/12-ARCA-3.pdf>
Sources: New York Stock Exchange Disciplinary Actions, New York Stock Exchange Disciplinary Actions, <http://www.nyse.com/regulation/nyse/1022221394131.html>

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Alert

Batch Date: 6/16/2017
Added to Monitoring: 06/16/2017

Alert Date: 6/16/2017

Person Name: Richard Kahn Date of Birth: [REDACTED]
Address: Country: UNITED STATES
Tracking ID: [REDACTED] Reporting ID:

Alerted Entity #: 2 of 2 Risk Priority: Critical Alert ID: [REDACTED]

Entity Information

Entity ID: [REDACTED]
Riskid: [REDACTED]
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, 06/15/2017
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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