

# NAME SEARCHED: **Richard Kahn**

PWM BIS-RESEARCH performed due diligence research in accordance with the standards set by AML Compliance for your business. We completed thorough searches on your subject name(s) in the required databases and have attached the search results under the correct heading below. Significant negative media results may require escalation to senior business, Legal and Compliance management. Also, all accounts involving PEPs must be escalated.

Search:	Result:	Click here for results:	Reviewer Comments (as necessary):
RDC	<input type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input checked="" type="checkbox"/> Hit	I. <a href="#">RDC Results</a>	RDC Alert(please see attached)
FIRCOSOFT	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. <a href="#">FIRCOSOFT Results</a>	No FIRCOSOFT Alert(please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Not Required	III. <a href="#">Negative Media</a>	No Information Found
		IV. <a href="#">Non-Negative Media</a>	Not Required
		V. <a href="#">Other Language Media</a>	Not Required
D&B	Results? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VI. <a href="#">D&amp;B</a>	Not Required
Smartlinx	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VII. <a href="#">Smartlinx</a>	Information Found(please see attached)
Court Cases	<input checked="" type="checkbox"/> Review by Legal May be Required <input type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. <a href="#">Court Cases</a>	Information Found(please see attached)

Prepared by: Mamta choudhary Date: 8/17/2018

Research Analyst

**Instructions:**

1. Review and confirm that all results are returned for your client.
2. Please note that you are still required to perform any Martindale-Hubbell search (if applicable) on each search subject. We have attached the web link below for your convenience: [Martindale-Hubbell](http://www.martindale.com/xp/Martindale/home.xml) <http://www.martindale.com/xp/Martindale/home.xml>
3. As needed, provide comment for any negative results.
4. If applicable, please obtain clearance from Compliance for all alerts.
5. Save any changes you make to this document and attach file to your KYC.

Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

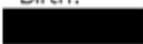
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**OFAC RESULTS**

**RDC:**

11638369 <u>Alerted</u>	KYC 1977694	 Richard Kahn	Country: UNITED STATES	Date of Birth: 
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**FIRCOSOFT:**

Request ID	Record ID	Type	Name	Details	Alert(s)			
					ADM	INT	PEP	SAE
		Individual	Kahn, Richard		No Alert	No Alert	No Alert	No Alert

**BIS RESULTS:**

**Negative Media:**

No Information Found

**Non-Negative Media:**

Not Required

**Other Language Media:**

Not Required

**Public Records:**

**1 OF 1 RECORD(S)**

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Date: 8/17/2018  
 Report processed by:  
 DEUTSCHE BANK AG||

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**CONFIDENTIAL**

Full Name	Address	County	Phone
KAHN, RICHARD D	[REDACTED]	[REDACTED]	[REDACTED]

**ADDITIONAL PERSONAL INFORMATION**

SSN	DOB	Gender	LexID(sm)
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

- Name Variations**
- 1: D RICHARD, KAHN
  - 2: KAHN, R
  - 3: KAHN, RICHARD
  - 4: KAHN, RICHARD D
  - 5: KAHO, RICHARD D

**SSNs Summary**

No.	SSN	State Iss.	Date Iss.	Warnings
1:	[REDACTED]			

Most frequent SSN attributed to subject:

**DOBs**

Reported DOBs:

- 12/1972
- 12/1972

**Possible E-Mail Addresses**

[REDACTED]

**Others Using SSN - 0 records found**

**Address Summary - 11 records found**

No.	Address
1:	[REDACTED]
2:	[REDACTED]
3:	[REDACTED]
4:	[REDACTED]
5:	[REDACTED]
6:	[REDACTED]

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**CONFIDENTIAL**

No. Address

7: [Redacted]

8: [Redacted]

9: [Redacted]

10: [Redacted]

11: [Redacted]

Address Details

1: [Redacted]

Address [Redacted]

Dates [Redacted] Phone [Redacted]

Census Data for Geographical Region

Median Head of Household Age: 46  
Median Income: \$176,471  
Median Home Value: \$1,000,000  
Median Education: 17 years

Household Members

None Listed

Other Associates

None Listed

2: [Redacted]

Address [Redacted]

Dates [Redacted] Phone [Redacted]

Census Data for Geographical Region

Median Head of Household Age: 39  
Median Income: \$81,397  
Median Home Value: \$429,167  
Median Education: 16 years

Household Members

MINSKY, LISA GALE

Other Associates

None Listed

3: [Redacted]

Address [Redacted]

Dates [Redacted] Phone [Redacted]

Census Data for Geographical Region

Median Head of Household Age: 39  
Median Income: \$81,397

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Median Home Value: \$429,167

Median Education: 16 years

**Household Members**

None Listed

**Other Associates**

None Listed

4: [Redacted]

Address

Dates

Phone

[Redacted]

[Redacted]

**Household Members**

None Listed

**Other Associates**

None Listed

5: [Redacted]

Address

Dates

Phone

[Redacted]

**Census Data for Geographical Region**

Median Head of Household Age: 35

Median Income: \$123,611

Median Home Value: \$678,697

Median Education: 16 years

**Household Members**

None Listed

**Other Associates**

None Listed

6: [Redacted]

Address

Dates

Phone

[Redacted]

**Census Data for Geographical Region**

Median Head of Household Age: 38

Median Income: \$225,720

Median Home Value: \$1,000,000

Median Education: 18 years

**Household Members**

KAHN, CAROL RUBIN

**Other Associates**

RUBIN, LUCILLE L

7: [Redacted]

Address

Dates

Phone

[Redacted]

**Census Data for Geographical Region**

Median Head of Household Age: 22

Median Income: \$11,280

Median Home Value: \$0

Median Education: 12 years

**Household Members**

None Listed

**Other Associates**

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**CONFIDENTIAL**

None Listed

8: [Redacted]

Address Dates Phone

[Redacted]

**Census Data for Geographical Region**

Median Head of Household Age: 35

Median Income: \$139,826

Median Home Value: \$803,571

Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

None Listed

9: [Redacted]

Address Dates Phone

[Redacted]

**Census Data for Geographical Region**

Median Head of Household Age: 42

Median Income: \$148,281

Median Home Value: \$744,932

Median Education: 16 years

**Household Members**

KAHN, IRENE L

**Other Associates**

None Listed

10: [Redacted]

Address Dates Phone

[Redacted]

**Census Data for Geographical Region**

Median Head of Household Age: 39

Median Income: \$80,556

Median Home Value: \$448,387

Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

None Listed

11: [Redacted]

Address Dates Phone

[Redacted]

**Census Data for Geographical Region**

Median Head of Household Age: 38

Median Income: \$208,387

Median Home Value: \$965,909

Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

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**CONFIDENTIAL**

RUBIN, LUCILLE L

**Voter Registrations - 9 records found**

**1: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address: [REDACTED]

SSN: [REDACTED]

Date of Birth: [REDACTED]

Gender: Male

**Voter Information**

Registration Date: 10/6/2003  
Last Vote Date: 11/2/2010  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**2: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address: [REDACTED]

SSN: [REDACTED]

Date of Birth: [REDACTED]

Gender: Male

**Voter Information**

Registration Date: 10/6/2003  
Last Vote Date: 11/2/2010  
Party Affiliation: INDEPENDENCE  
Active Status: ACTIVE

**3: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address: [REDACTED]

SSN: [REDACTED]

Date of Birth: [REDACTED]

Gender: Male

**Voter Information**

Registration Date: 10/6/2003  
Last Vote Date: 11/2/2004  
Party Affiliation: REPUBLICAN  
Active Status: ACTIVE

**4: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address: [REDACTED]

Home Phone: [REDACTED]

SSN: 108-50-XXXX

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**CONFIDENTIAL**

Date of Birth: 12/1972  
Gender: Male

**Voter Information**

Registration Date: 10/6/2003  
Last Vote Date: 11/8/2016  
Party Affiliation: INDEPENDENCE  
Active Status: ACTIVE

**5: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address:



Home Phone:  
SSN:

Date of Birth:

Gender: Male

**Voter Information**

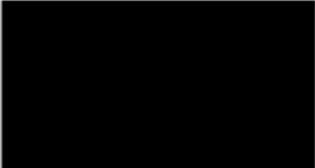
Registration Date: 10/6/2003  
Last Vote Date: 2/5/2008  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**6: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address:



Home Phone:  
SSN:

Date of Birth:

Gender: Male

**Voter Information**

Registration Date: 10/6/2003  
Last Vote Date: 11/8/2016  
Party Affiliation: INDEPENDENCE  
Active Status: ACTIVE

**7: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address:



SSN:

Date of Birth:

Gender: Male

**Voter Information**

Registration Date: 10/6/2003  
Last Vote Date: 2/5/2008  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**8: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

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**CONFIDENTIAL**

Residential Address: [REDACTED]

SSN: [REDACTED]  
Date of Birth: [REDACTED]  
Gender: Male

**Voter Information**

Registration Date: 10/6/2003  
Last Vote Date: 2/5/2008  
Party Affiliation: REPUBLICAN

**9: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD D

Residential Address: [REDACTED]

SSN: [REDACTED]  
Date of Birth: [REDACTED]  
Gender: Male

**Voter Information**

Registration Date: 9/6/1996  
Party Affiliation: REPUBLICAN

**Driver Licenses - 0 records found**

**Professional Licenses - 1 records found**

1: Professional License

**Licensee Information**

Name: KAHN, RICHARD

SSN: [REDACTED]  
Address: [REDACTED]  
County: [REDACTED]  
Gender: [REDACTED]

**License Information**

License Type: CPA  
License Number: 078502

**Health Care Providers - 0 records found**

**Health Care Sanctions - 0 records found**

**Pilot Licenses - 0 records found**

**Sport Licenses - 0 records found**

**Real Property - 1 records found**

1: Assessment Record for SUFFOLK County, NY

**Owner Information**

Name: RICHARD KAHN  
Address: [REDACTED]  
County/FIPS: [REDACTED]

**Property Information**

Address: [REDACTED]  
Data Source: [REDACTED]

**Legal Information**

Assessor's Parcel Number: 0900-080.00-02.00-009.014

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**Recording Date:** 10/27/2015  
**Book/Page:** 12852/589

**Sale Information**

**Sale Price:** \$1518000

**Assessment Information**

**Assessed Value:** \$1243500

**Motor Vehicle Registrations - 5 records found**

1: NY MVR

**Registrant Information**

**Registrant:** KAHN, RICHARD D

**DOB:** [REDACTED]

**Address:** [REDACTED]

**Registration Information**

**Original Registration Date:** 3/17/2011  
**Registration Date:** 3/17/2011  
**Registration Expiration Date:** 3/16/2013

**Vehicle Information**

**VIN:** 1GNSKKE34BR274132  
**Class:** PASSENGER CAR/LIGHT TRUCK  
**Model Year:** 2011  
**Make:** Chevrolet  
**Model:** K1500  
**Series:** SUBURBAN LTZ  
**Body Style:** 4 Dr Wagon Sport Utility  
**Weight:** 5827

**Plate Information**

**License Plate Type:** Private  
**License Plate Number:** FHH6920  
**Plate State:** NY

**Source Information**

**Data Source:** GOVERNMENTAL

2: NY MVR

**Vehicle Information**

**VIN:** 1GNSKKE34BR274132  
**Class:** PASSENGER CAR/LIGHT TRUCK  
**Model Year:** 2011  
**Make:** Chevrolet  
**Model:** K1500  
**Series:** SUBURBAN LTZ  
**Body Style:** 4 Dr Wagon Sport Utility  
**Weight:** 5827

**Owner Information**

**Name:** KAHN, RICHARD D

**DOB:** [REDACTED]

**Address:** [REDACTED]

**Title Information**

**Title Transfer Date:** 4/7/2011  
**Title Issue Date:** 4/7/2011

**Source Information**

**Data Source:** GOVERNMENTAL

3: NY MVR

**Registrant Information**

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**CONFIDENTIAL**

Registrant: KAHN, RICHARD D

DOB: [REDACTED]  
Address: [REDACTED]

Registration Information

Original Registration Date: 5/22/2009  
Registration Date: 5/22/2009  
Registration Expiration Date: 7/8/2011

Vehicle Information

VIN: SALMF15407A257934  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2007  
Make: Land Rover  
Model: Range  
Series: ROVER HSE  
Body Style: 4 Dr Wagon Sport Utility  
Weight: 5701

Plate Information

License Plate Type: Private  
Previous Plate Number: EAE1027  
Previous Plate State: NY  
License Plate Number: EAE1027  
Plate State: NY

Source Information

Data Source: GOVERNMENTAL

4: NY MVR

Vehicle Information

VIN: SALMF15407A257934  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2007  
Make: Land Rover  
Model: Range  
Series: ROVER HSE  
Body Style: 4 Dr Wagon Sport Utility  
Weight: 5701

Owner Information

Name: KAHN, RICHARD D  
DOB: [REDACTED]  
Address: [REDACTED]

Title Information

Title Transfer Date: 8/9/2007  
Title Issue Date: 8/9/2007

Source Information

Data Source: GOVERNMENTAL

5: NY MVR

Registrant Information

Registrant: KAHN, RICHARD D  
DOB: [REDACTED]  
Address: [REDACTED]

Registration Information

Original Registration Date: 12/7/2003  
Registration Date: 12/7/2003  
Registration Expiration Date: 1/6/2006

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**Vehicle Information**

VIN: SALPM16412A466707  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2002  
Make: Land Rover  
Model: Range  
Series: ROVER HSE  
Body Style: 4 Dr Wagon Sport Utility  
Weight: 4960

**Plate Information**

License Plate Type: Private  
Previous Plate Number: BEV5149  
Previous Plate State: NY  
License Plate Number: BEV5149  
Plate State: NY

**Source Information**

Data Source: GOVERNMENTAL

**Boats - 0 records found**

**Aircraft - 0 records found**

**Bankruptcy Information - 0 records found**

**Judgments/Liens - 1 records found**

1: NY Judgments and Liens Filings

**Debtor Information**

Name: KAHN, RICHARD

SSN: [REDACTED]

Address: [REDACTED]

**Creditor Information**

Name: SIBA R E L P

**Filing Information**

Jurisdiction: NY  
Amount: \$1,783  
Filing Date: 5/2/2000  
Eviction Y

**Filing 1**

Number: 20000072311  
Type: CIVIL NEW FILING  
Agency: CIVIL COURT OF THE CITY OF NEW YORK  
Agency State: NY  
Agency County: NEW YORK

**UCC Liens - 1 records found**

1: NEW YORK CITY RECORD

**Debtor Information**

**Debtor 1**

Name: KAHN, RICHARD

SSN: [REDACTED]

Address: [REDACTED]

**Debtor 2**

Name: KAHN, LISA

SSN: [REDACTED]

Address: [REDACTED]

**Secured Party Information**

Name:

FIRST REPUBLIC BANK  
Address: 111 PINE ST

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SAN FRANCISCO, CA US 94111-5602

Filing Information

Filing Jurisdiction: NEW YORK CITY, NEW YORK  
Original Filing Number: 2016000105048  
Original Filing Type: INITIAL COOP UCC1  
Original Filing Date: 3/25/2016  
Number: [REDACTED]

Fictitious Businesses - 0 records found

Notice Of Defaults - 0 records found

Potential Relatives - 10 records found

1st Degree: 10

No.	Full Name	Address/Phone
-----	-----------	---------------

1.	<p>MINSKY, LISA GALE</p> <ul style="list-style-type: none"> <li>• AKA KAHN, LISA G</li> </ul> <p>SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])</p>	[REDACTED]
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2.	<p>KAHN, GARY E</p> <p>⚠ Deceased</p> <ul style="list-style-type: none"> <li>• AKA AHN, GARY E</li> <li>• AKA KAHAN, GARY</li> </ul> <p>SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])</p>	[REDACTED]
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3.	<p>KAHN, CAROL RUBIN</p> <ul style="list-style-type: none"> <li>• AKA BLITSTEIN, CAROL RUBIN</li> <li>• AKA RUBIN, CAROL JAYNE</li> <li>• AKA RUBIN, KAHN CAROL</li> <li>• AKA RUBIN, CAHN CAROL</li> <li>• AKA RUBIN-KAHN, CAROL</li> <li>• AKA KAHN, C R</li> <li>• AKA RUBIN CAHN, CAROL</li> <li>• AKA RUBIN KAHN, CAROL</li> <li>• AKA LITSTEIN, CAROL R</li> <li>• AKA RUBIN, BLITSTEIN CAROL</li> <li>• AKA RUBIN KAHN, C</li> <li>• AKA RUB, CAROL</li> </ul> <p>SSN:054-44-XXXX</p>	[REDACTED]
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CONFIDENTIAL

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

DB-SDNY-0024441  
EFTA\_00172128

EFTA01297904

No.	Full Name	Address/Phone
4.	DOB: [REDACTED] (Age: [REDACTED])  LIPUMA, ALISSA B  • AKA KAHN, ALISSA B • AKA KAHNLIPUMA, ALISSA • AKA LIPUMA, A • AKA LI PUMA, ALISSA B • AKA LIPUMA, ALISSA P • AKA LI, ALISSA B • AKA LIPLUMA, ALISSA B • AKA PUMA, ALISSA B LI • AKA LIPUMA, ALLISSA • AKA KAHN, LIPUMA ALISSA  SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])	[REDACTED]
5.	KAHN, IRENE L  SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])	
6.	KAHN, IRWIN A  ⚠ Deceased SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])	
7.	KAHN, GABRIELLE EVE  DOB: [REDACTED] (Age: [REDACTED])	
8.	KAHN, IRWIN GRANTEE	

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**CONFIDENTIAL**

No.	Full Name	Address/Phone
	SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])	[REDACTED]
9.	KAHN, IRWIN M • AKA IRWIN, KAHN SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])	
10.	KAHN, FRANCINE L ⚠ Deceased • AKA CAHN, FRANCINE L • AKA KAHN, FRAN SSN: [REDACTED] DOB: [REDACTED] (Age: [REDACTED])	

**Business Associates - 6 records found**

**1: ARC HOLDING INC.**

Name: KAHN, RICHARD

Status: INACTIVE

State: NY

Corporation Number: 2558550

Descriptive Status: INACTIVE

Record Type: CURRENT

Record Date: 7/24/2018

Filing Date: 9/29/2000

**2: ARKAY CAPITAL CORP.**

Name: KAHN, RICHARD

Status: ACTIVE

State: NY

Corporation Number: 2515783

Descriptive Status: ACTIVE

Record Type: CURRENT

Record Date: 7/24/2018

Filing Date: 5/31/2000

**3: HBRK ASSOCIATES INC.**

Name: KAHN, RICHARD

Status: ACTIVE

State: NY

Corporation Number: 3714818

Descriptive Status: ACTIVE

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**CONFIDENTIAL**

Record Type: CURRENT  
Record Date: 7/24/2018  
Filing Date: 8/29/2008

4: K & F CAPITAL CORP.

Name: KAHN, RICHARD

Status: INACTIVE  
State: NY

Corporation Number: 2516183  
Descriptive Status: INACTIVE  
Record Type: CURRENT  
Record Date: 7/24/2018  
Filing Date: 6/1/2000

5: RDK ASSET MANAGEMENT INC.

Name: KAHN, RICHARD

Status: INACTIVE  
State: NY

Corporation Number: 2558561  
Descriptive Status: INACTIVE  
Record Type: CURRENT  
Record Date: 7/24/2018  
Filing Date: 9/29/2000

6: THE C.O.U.Q. FOUNDATION, INC.

Name: KAHN, RICHARD

Address:

Status:  
State:

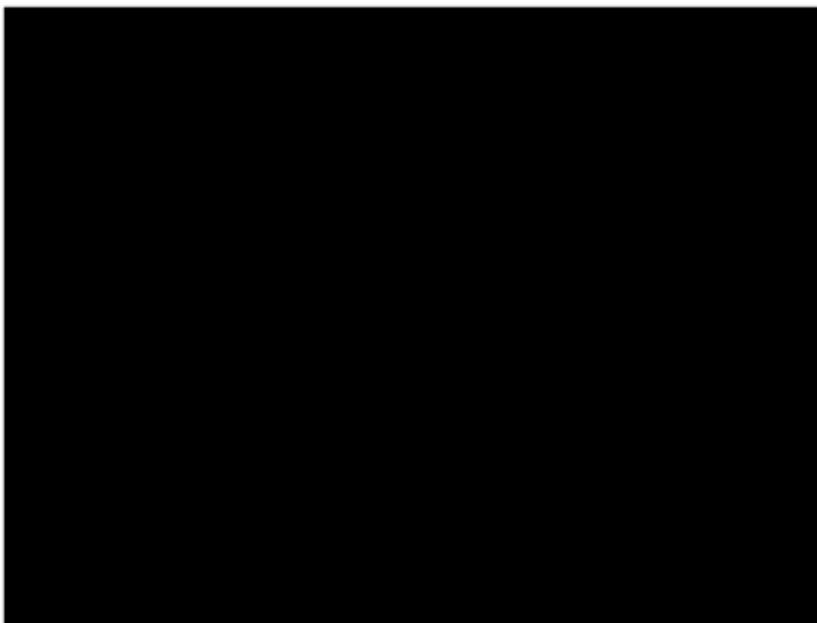
Corporation Number: F08000003048  
Descriptive Status: INACTIVE  
Title: DIRECTOR, TREASURER  
Record Type: CURRENT  
Record Date: 10/18/2017  
Filing Date: 9/23/2011

Person Associates - 4 records found

No.	Full Name	Address	SSN	Phone	DOB
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1: RUBIN, LUCILLE L

2: RUBIN, ISAAC J  
RUBIN, I  
RUBIN, JUDGE I



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**CONFIDENTIAL**

No.	Full Name	Address	SSN	Phone	DOB
3:	SCHEFFLER, ADAM CRAIG SCHEFFLER, A C SCHEFELER, ADAM C SCHLEFFLER, ADAM SCHEFFER, ADAM SHEFFLER, ADAM	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
4:	RUBIN, LUCILLE	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

Neighbors - 1 records found

Name	Address	Phone
MOEDER, ALYSSA C	[REDACTED]	[REDACTED]

Employment Locator - 27 records found

- 1:
  - Company Name: ARKAY CAPITAL CORP.
  - Name: KAHN, RICHARD
  - SSN: [REDACTED]
  - Confidence: Medium
- 2:
  - Company Name: HBRK ASSOCIATES INC.
  - Name: KAHN, RICHARD
  - SSN: [REDACTED]
  - Confidence: Medium
- 3:
  - Company Name: RDK ASSET MANAGEMENT INC.
  - Name: KAHN, RICHARD
  - SSN: [REDACTED]
  - Confidence: Medium
- 4:
  - Company Name: ARC HOLDING INC.
  - Name: KAHN, RICHARD
  - SSN: [REDACTED]
  - Confidence: Medium
- 5:
  - Company Name: RDK ASSET MANAGEMENT INC.
  - Name: KAHN, RICHARD
  - SSN: [REDACTED]
  - Confidence: Medium

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**CONFIDENTIAL**

- 6:           **Company Name:** K & F CAPITAL CORP.  
              **Name:** KAHN, RICHARD  
              **SSN:** [REDACTED]  
              **Confidence:** Medium
  
- 7:           **Company Name:** THE C.O.U.Q. FOUNDATION, INC.  
              **Name:** KAHN, RICHARD  
              **Title:** DIRECTOR, TREASURER  
              **SSN:** [REDACTED]  
              **Confidence:** Medium
  
- 8:           **Company Name:** THE C.O.U.Q. FOUNDATION, INC.  
              **Name:** KAHN, RICHARD  
              **Title:** DIRECTOR  
              **SSN:** [REDACTED]  
              **Confidence:** Medium
  
- 9:           **Company Name:** HBRK ASSOCIATES INC.  
              **Name:** KAHN, RICHARD  
              **Address:** [REDACTED]  
              **SSN:** [REDACTED]  
              **Phone:** [REDACTED]  
              **Confidence:** High
  
- 10:          **Company Name:** RDK ASSET MANAGEMENT INC.  
              **Name:** KAHN, RICHARD  
              **Address:** [REDACTED]  
              **SSN:** [REDACTED]  
              **Confidence:** High
  
- 11:          **Company Name:** ARC HOLDING INC.  
              **Name:** KAHN, RICHARD  
              **Address:** [REDACTED]  
              **SSN:** [REDACTED]  
              **Confidence:** Medium
  
- 12:          **Company Name:** RDK ASSET MANAGEMENT INC.  
              **Name:** KAHN, RICHARD  
              **Address:** [REDACTED]  
              **SSN:** [REDACTED]  
              **Confidence:** High
  
- 13:          **Company Name:** K & F CAPITAL CORP.  
              **Name:** KAHN, RICHARD  
              **Address:** [REDACTED]  
              **SSN:** [REDACTED]  
              **Confidence:** Medium
  
- 14:          **Company Name:** ARKAY CAPITAL CORP.

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15: Name: KAHN, RICHARD  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: Medium

Company Name: ALASKA FREEDOM FISHN  
Name: KAHN, RICHARD

16: Title: CONTACT  
Address: [REDACTED]  
SSN: [REDACTED]  
Confidence: High

Company Name: ALASKA FREEDOM FISHN  
Name: KAHN, RICHARD

17: Title: CONTACT  
Address: [REDACTED]  
SSN: [REDACTED]  
Confidence: High

Company Name: HBRK ASSOCIATES INC  
Name: KAHN, RICHARD

18: Title: CONTACT  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

Company Name: HBRK ASSOCIATES INC  
Name: KAHN, RICHARD

19: Title: CONTACT  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

Company Name: BROOKLYN TOFU  
Name: KAHN, RICHARD

20: Title: CONTACT  
Address: [REDACTED]  
SSN: [REDACTED]  
Confidence: High

Company Name: F&J RESTAURANT GROUP LLC  
Name: KAHN, RICHARD

Title: CONTACT  
Address: [REDACTED]  
SSN: [REDACTED]  
Confidence: High

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- 21:           **Company Name:** WEST COAST WATER SPECIALISTS INC  
              **Name:** KAHN, RICHARD  
  
              **Title:** CONTACT  
              **Address:** [REDACTED]  
  
              **SSN:** [REDACTED]  
              **Phone:** [REDACTED]  
              **Confidence:** High
  
- 22:           **Company Name:** RDK ASSET MANAGEMENT INC  
              **Name:** KAHN, RICHARD  
  
              **Title:** CONTACT  
              **Address:** [REDACTED]  
  
              **SSN:** [REDACTED]  
              **Confidence:** High
  
- 23:           **Company Name:** RDK ASSET MANAGEMENT INC.  
              **Name:** KAHN, RICHARD  
  
              **Title:** CHAIRMAN OR CHIEF EXECUTIVE OFFICER  
              **Address:** [REDACTED]  
  
              **SSN:** [REDACTED]  
              **Confidence:** High
  
- 24:           **Company Name:** RDK ASSET MANAGEMENT INC.  
              **Name:** KAHN, RICHARD  
  
              **Title:** CHAIRMAN OR CHIEF EXECUTIVE OFFICER  
              **Address:** [REDACTED]  
  
              **SSN:** [REDACTED]  
              **Confidence:** High
  
- 25:           **Company Name:** RDK ASSET MANAGEMENT INC.  
              **Name:** KAHN, RICHARD  
  
              **Title:** PRINCIPAL EXECUTIVE OFFICE CONTACT  
              **Address:** [REDACTED]  
  
              **SSN:** [REDACTED]  
              **Confidence:** High
  
- 26:           **Company Name:** RDK ASSET MANAGEMENT INC.  
              **Name:** KAHN, RICHARD  
  
              **Title:** PRINCIPAL EXECUTIVE OFFICE CONTACT  
              **Address:** [REDACTED]  
  
              **SSN:** [REDACTED]  
              **Confidence:** High
  
- 27:           **Company Name:** RDK ASSET MANAGEMENT INC.  
              **Name:** KAHN, RICHARD  
  
              **Title:** PROCESS ADDRESS CONTACT  
              **Address:** [REDACTED]  
  
              **SSN:** [REDACTED]

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Confidence: High

**Criminal Filings - 0 records found**

**Cellular & Alternate Phones - 0 records found**

**Possible Education - 2 records found**

1:

**Student Information**

Name: KAHN, RICHARD  
 SSN: [REDACTED]  
 DOB: [REDACTED]  
 LexID(sm): [REDACTED]  
 First Reported: 08/24/2016  
 Last Reported: 08/09/2018  
 High School Graduation Year: 1991  
 Phone: None Listed  
 Address: [REDACTED]

Currently a Student? YES  
 Attended High School: YES  
 Years Since High School: 27  
 Graduation:  
 Attended College 1: YES  
 College Type 1: Private  
 College Description 1: Four Year College  
 College Education Program Tier 1: 3  
 Attended College 2: YES  
 College Type 2: Private  
 College Description 2: Four Year College  
 College Education Program Tier 2: 3

2: SYRACUSE UNIVERSITY

**Student Information**

Name: KAHN, RICHARD  
 SSN: [REDACTED]  
 LexID(sm): [REDACTED]  
 Tuition Range: [REDACTED]  
 First Reported: [REDACTED]  
 Last Reported: [REDACTED]  
 Phone: [REDACTED]  
 Address: [REDACTED]

Class Rank: Senior  
 Currently a Student? NO  
 Attended High School: YES  
 Years Since High School: 27  
 Graduation:  
 Attended College 1: YES  
 College Type 1: Private  
 College Description 1: Four Year College  
 College Education Program Tier 1: 3  
 Attended College 2: YES  
 College Type 2: Private  
 College Description 2: Four Year College  
 College Education Program Tier 2: 3

**College Information**

College Name: SYRACUSE UNIVERSITY  
 Original Name: SYRACUSE UNIVERSITY  
 Level: FOUR YEAR COLLEGE  
 Type: PRIVATE SCHOOL  
 School Size: 5,001 - 15,000

**Sources - 72 records found**

All Sources

72 Source Document(s)

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Corporate Affiliations	6 Source Document(s)
Deed Transfers	1 Source Document(s)
Email addresses	4 Source Document(s)
Historical Person Locator	28 Source Document(s)
Liens and Judgments	1 Source Document(s)
Motor Vehicle Registrations	6 Source Document(s)
Person Locator 2	6 Source Document(s)
Person Locator 4	1 Source Document(s)
Phone	6 Source Document(s)
Professional Licenses	1 Source Document(s)
Tax Assessor Records	2 Source Document(s)
UCC Lien Filings	1 Source Document(s)
Voter Registrations	9 Source Document(s)

#### Key

▲ High Risk Indicator. These symbols may prompt you to investigate further.

▣ Moderate Risk Indicator. These symbols may prompt you to investigate further.

■ General Information Indicator. These symbols inform you that additional information is provided.

✓ The most recent telephone listing as reported by the EDA source.

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Your DPPA Permissible Use is: Debt Recovery/Fraud

Your GLBA Permissible Use is: Legal Compliance

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#### D&B:

Not Required

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#### Court Cases:

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Watchlists and Blacklists

August 9, 2018

**Richard Kahn**

**SOURCE:**

COUNTRY: United States of America  
LIST NAME: NYSE Arca Enforcement  
AUTHORITY: New York Stock Exchange

\*\*\*\*\* **PERSONAL INFORMATION** \*\*\*\*\*

**COUNTRY:** United States of America

\*\*\*\*\* **OTHER INFORMATION** \*\*\*\*\*

**LIST INFORMATION:**

ENTITY TYPE: I  
DATE OF PUBLICATION: April 20, 2012  
LIST NAME: NYSE Arca Enforcement  
DATE OF INFORMATION: May 23, 2018  
**CASE:** Name on the list of Arca Disciplinary Actions; Decision number: 12-ARCA-3  
(Position: ETP Holder Limited Partner)  
**COUNTRY:** United States of America

**LOAD-DATE:** August 10, 2018

**RICHARD KAHN, Plaintiff, v. VISADOR HOLDING CORPORATION, Defendant.**

**CIVIL ACTION FILE NO. 2:07-CV-73**

**UNITED STATES DISTRICT COURT FOR THE NORTHERN DISTRICT OF GEORGIA, GAINESVILLE DIVISION**

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2008 U.S. Dist. LEXIS 129842, \*

**2008 U.S. Dist. LEXIS 129842****March 18, 2008, Decided****March 18, 2008, Filed**

**CORE TERMS:** personal jurisdiction, distributor, dealer, employment agreement, choice of law, authorized dealers, non-resident, consumers, website, site, exercise of jurisdiction, minimum contacts, stream of commerce, nonresident, construe, long-arm, resident, customers, relocate, employment contract, sales manager, regional, sales representatives, prima facie case, assertion of jurisdiction, forum state, sufficient to support, provision contained, foreign jurisdiction, middle ground

**COUNSEL:** [\*1] For Richard Kahn, Plaintiff: Deirdre M. Stephens-Johnson, LEAD ATTORNEY, Crowther Law Firm, Atlanta, GA USA.

For Visador Holding Corporation, a Foreign Corporation, Defendant: J. Douglas Stewart, Sr., LEAD ATTORNEY, Stewart Melvin & Frost, LLP, Gainesville, GA USA.

**JUDGES:** WILLIAM C. O'KELLEY, Senior United States District Judge.

**OPINION BY:** WILLIAM C. O'KELLEY

## **OPINION**

### **ORDER**

The captioned case is before the court for consideration of defendant's motion to dismiss for lack of personal jurisdiction [4-1].

#### **I. Background**

This is a breach of contract claim arising out of an employment agreement between plaintiff and defendant. Defendant, a Delaware corporation with its principal place of business in Virginia, manufactures parts for chairs and architectural columns through its two subsidiaries, Coffman Stairs and Crown Columns. Defendant hired plaintiff as a regional sales manager for Coffman Stairs in 2005 to increase sales in the southeast. (Ex. A to Pl.'s Resp. 1). At all times during his employment, plaintiff resided in Georgia.

On November 16, 2006, defendant terminated plaintiff's employment due to company downsizing. Plaintiff asserts that he is owed a substantial severance package under the employment agreement. After [\*2] defendant contested the validity of the agreement, plaintiff brought this breach of contract claim, which defendant moved to dismiss on September 7, 2007 for lack of personal jurisdiction [4-1].

#### **II. Motion to Dismiss**

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The plaintiff has the initial burden of establishing a prima facie case of personal jurisdiction over a nonresident defendant. *Meier v. Sun Intern. Hotels, Ltd.*, 288 F.3d 1264, 1268-69 (11th Cir. 2002). "A prima facie case is established if the plaintiff presents enough evidence to withstand a motion for directed verdict." *Id.* at 1269 (quoting *Madara v. Hall*, 916 F.2d 1510, 1514 (11th Cir. 1990)). If the defendant challenges the facts alleged in the complaint and submits affidavits to the contrary, the burden traditionally shifts back to the plaintiff to produce evidence supporting jurisdiction. *Meier*, 288 F.3d at 1269; *Posner v. Essex Ins. Co., Ltd.*, 178 F.3d 1209, 1215 (11th Cir. 1999). If the plaintiff's complaint and supporting evidence conflict with the defendant's affidavits, the court must construe all reasonable inferences in favor of the plaintiff. *Meier*, 288 F.3d at 1269; *Madara*, 916 F.2d at 1514.

A federal court must have both statutory and constitutional authority to assert jurisdiction over a nonresident defendant. See *McGee v. International Life Ins. Co.*, 355 U.S. 220, 223, 78 S. Ct. 199, 2 L. Ed. 2d 223 (1957). In analyzing whether personal jurisdiction exists, the court must first determine whether a defendant is subject to jurisdiction under Georgia's long-arm statute. If so, the court must then determine if an assertion [\*3] of jurisdiction would be constitutional. See *Madara*, 916 F.2d at 1514.

The Georgia Long-Arm Statute provides, in relevant part:

A court of this state may exercise personal jurisdiction over any nonresident or his executor or administrator as to a cause of action arising from any of the acts, omissions, ownership, use, or possession enumerated in this Code section, in the same manner as if he were a resident of the state, if in person or through an agent, he:

(1) Transacts any business within this state;

....

O.C.G.A. § 9-10-91 (2007). The long-arm statute confers personal jurisdiction to the full extent permitted by the Due Process Clause. *Innovative Clinical & Consulting Servs., LLC v. First Nat'l Bank*, 279 Ga. 672, 620 S.E.2d 352, 355 (Ga. 2005) (construing the first and second sections of the statute as reaching to the maximum extent permitted by procedural due process). The court, therefore, may bypass statutory analysis and proceed directly to an evaluation of whether exercising personal jurisdiction over defendant is consistent with the Due Process Clause. See *Datacom Warranty Corp. v. The Phone Connection of Kansas, Inc.*, No.06-1835, 2006 U.S. Dist. LEXIS 76622, at \*5 (N.D. Ga. Oct. 20, 2006) ("[I]t is permissible for courts to pass over an analysis of the long arm statute and exercise personal jurisdiction if the constitutional requirements are satisfied."). See also *Peridyne Technology Solutions, LLC v. Matheson Fast Freight, Inc.*, 117 F. Supp. 2d 1366, 1369 (N.D. Ga. 2000).

"The Due Process Clause protects an individual's liberty interest in not being subject to the binding judgments of a forum with which he has established [\*4] no meaningful 'contacts, ties, or relations.'" *Burger King Corp. v. Rudzewicz*, 471 U.S. 462, 471-72, 105 S. Ct. 2174, 85 L. Ed. 2d 528 (1985) (quoting *International Shoe Co. v. Washington*, 326 U.S. 310, 319, 66 S. Ct. 154, 90 L. Ed. 95 (1945)). Due process contemplates two types of personal jurisdiction: general jurisdiction and specific jurisdiction. *Helicopteros Nacionales de Colombia, S.A. v. Hall*, 466 U.S. 408, 414, 104 S. Ct. 1868, 80 L. Ed. 2d 404 (1984). For general jurisdiction, a non-resident defendant's contacts with the forum must be

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substantial, showing continuous and systematic contacts between the defendant and the forum state. *Meier*, 288 F.3d at 1274 (11th Cir. 2002). Specific jurisdiction exists when defendant's contacts with the forum: (1) are related to the cause of action; (2) involve some act by which the defendant purposefully availed itself of the benefits of the forum; and (3) are such that the defendant should reasonably anticipate being sued in the forum state. *Francosteel Corp. v. M/V Charm*, 19 F.3d 624, 627 (11th Cir. 2007). "The availability of specific jurisdiction depends on the relationship among the defendant, the forum, and the litigation." *Borg-Warner Acceptance Corp. v. Lovett & Tharpe, Inc.*, 786 F.2d 1055, 1057 (11th Cir. 1986).

Defendant contends it lacks sufficient minimum contacts to warrant personal jurisdiction in the state of Georgia. Defendant is not registered to do business in Georgia and does not maintain an office, telephone listing, mailing address, or business location in Georgia. (Def.'s Mot. Dismiss 2). Defendant sells its products only to authorized dealers and distributors, who then sell the products to consumers. [\*5] (*Id.* at 3). Though it concedes some of those dealers and distributors are located in Georgia, defendant maintains that its sale to those agents merely places their products into the stream of commerce. (*Id.* at 14). Moreover, defendant argues that, even if valid, the employment contract with plaintiff is insufficient to establish specific jurisdiction.

The court finds that defendant established minimum contacts with Georgia sufficient to support specific personal jurisdiction. This claim arises out of a breach of an employment contract allegedly entered into between the parties. The contract provides that plaintiff serve as defendant's regional sales manager, and plaintiff states that the purpose of his employment was to increase defendant's sales in Georgia and other southeastern states.<sup>1</sup> (Ex. A to Pl.'s Resp. 1). The contract, therefore, was to be performed, at least in part, within Georgia. At all times during his employment, plaintiff resided in Georgia. (*Id.*) As regional sales manager, plaintiff contacted defendant's customers, and defendant paid plaintiff's salary for the performance of his duties. (Ex. B to Def.'s Mot. Dismiss 3). Nonetheless, defendant now argues that it did not "voluntarily accept [\*6] the . . . employment contract." (Def.'s Mot. Dismiss 19). Given the almost two-year professional relationship between the parties, the court finds defendant's attempts to distance itself from the contract unpersuasive.

<sup>1</sup> The court notes that the parties hotly contest the validity of the employment agreement. In evaluating defendant's motion to dismiss, however, the court must construe all inferences in favor of plaintiff. *Meier*, 288 F.3d at 1269; *Madara*, 916 F.2d at 1514.

Defendant maintains it could not have anticipated plaintiff's Georgia residence because the employment agreement required him to relocate to Virginia. Under a section entitled "Compensation and Benefits," the employment agreement provides that defendant "shall reimburse [plaintiff] for the reasonable costs and expense . . . incurred . . . in relocating to the location of [defendant's] headquarters." (Ex. A to Pl.'s Compl. 2). No other language in the contract, however, mandates that plaintiff move to Marion, Virginia, and plaintiff states defendant never asked him to relocate. (Ex. A to Pl.'s Resp. 2). The court finds that this ambiguous contractual provision does not mitigate defendant's contacts with Georgia.

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Defendant also argues that the choice of law provision contained in the employment agreement indicates that defendant did not purposely avail itself of Georgia jurisdiction. "While by no means dispositive, a choice of law provision in a contract between the litigants [\*7] is a factor in deciding . . . whether the parties intended to invoke the benefits and protections of a particular state." *Allegiant Physicians Servs. v. Sturdy Mem'l Hosp.*, 926 F. Supp. 1106, 1116 (N.D. Ga. 1996). In its arguments, defendant repeatedly emphasizes its ties to Virginia and even construes the employment agreement as requiring that plaintiff relocate to its headquarters in Marion, Virginia. The choice of law provision contained in the contract, however, provides that North Carolina law governs the terms of the contract. The court finds that the choice of law provision weighs against plaintiff but, especially considering this agreement, does not preclude a finding of specific jurisdiction.

Although a contract with a non-resident alone is not always sufficient to support personal jurisdiction, *Burger King*, 471 U.S. at 478-79, the employment agreement, itself, is evidence that defendant participates in the Georgia marketplace. Defendant hired plaintiff to increase sales with, among others, the Georgia dealers and distributors with whom it conducts business. Defendant manufactures, markets, and sells its products to dealers and distributors. The authorized dealers and distributors then sell defendant's products to builders and other consumers without defendant's further knowledge or participation. [\*8] (Ex. A to Def.'s Mot. Dismiss 3).<sup>2</sup> Defendant, therefore, characterizes these transactions as merely placing goods into the stream of commerce and insufficient to establish minimum contacts. The court disagrees.

<sup>2</sup> Defendant admits that it occasionally learns the name of the builder purchasing its product from a dealer or distributor but states that such information is not usually available to it. (*Id.*).

Unlike where a non-resident defendant ships a product to an independent distributor who then controls its ultimate destination, defendant sells products to authorized Georgia distributors and dealers who maintain store locations throughout the state. *See Gold Kist, Inc. v. Baskin-Robbins Ice Cream Co.*, 623 F.2d 375, 382 n. 5 (5th Cir. 1980) (stating that business is transacted when defendant's obligations or business operations have a realistic impact on Georgia commerce). Though defendant employs independent sales representatives, it exclusively negotiates the contracts and orders solicited by those agents and then ships the products directly to the dealer or distributor in Georgia. (Ex. A to Def.'s Mot. Dismiss 2). *Cf. Bond v. Octagon Process, Inc.*, 745 F. Supp. 710, 712 (M.D. Ga. 1990) (finding no personal jurisdiction where defendant shipped products to various government depots, after which the government sent them where needed). Defendant derives two percent of its total gross sales from these Georgia transactions. Defendant also sends trainers and sales representatives to Georgia to train its dealers and distributors about [\*9] its products and their installation. (Ex. A to Pl.'s Resp. 2) Defendant's active solicitation, authorization, and facilitation of relationships with Georgia merchants constitute action purposefully directed toward Georgia, and defendant should have reasonably anticipated being haled into court here as a result of those contacts.

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Additionally, defendant's website, while not sufficiently interactive to establish general personal jurisdiction, does suggest that defendant intended to transact business in specific state markets. As first enunciated in *Zippo Mfg. Co. v. Zippo Dot Com*,

[t]he likelihood that personal jurisdiction can be constitutionally exercised is directly proportionate to the nature and quality of the commercial activity that an entity conducts over the Internet. This sliding scale is consistent with well developed personal jurisdiction principles. At one end of the spectrum are situations where a defendant clearly does business over the Internet. If the defendant enters into contracts with residents of a foreign jurisdiction that involve the knowing and repeated transmission of computer files over the Internet, personal jurisdiction is proper. At the opposite end are situations [\*10] where a defendant has simply posted information on an Internet Web site which is accessible to users of foreign jurisdictions. A passive Web site that does little more than make information available to those who are interested in it is not grounds for the exercise of personal jurisdiction. The middle ground is occupied by interactive Web sites where a user can exchange information with the host computer. In these cases the exercise of jurisdiction is determined by examining the level of interactivity and commercial nature of the exchange of information that occurs on the Web site.

952 F. Supp. 1119, 1124 (W.D. Penn. 1997). Defendant's website falls within the "middle ground" because although consumers cannot order its products over the website, they are able to browse defendant's product selection, "find out more" about the company through a request form, and locate nearby authorized dealers and distributors. See *Barton Southern Co. v. Manhole Barrier Systems*, 318 F. Supp. 2d 1174, 1177 (N.D. Ga. 2004). Through its "Dealer Locator Program," defendant promises dealers that it will "bring potential local Coffman customers to [their] door" by allowing consumers to enter their zip codes on the website and access a list of authorized dealers in the area. See *Coffman Stairs - Dealer Programs*, <http://www.coffmanstairs.com/dealer/dealer2.htm>. [\*11] Rather than merely placing its products into the stream of commerce, defendant directs customers, including those residing in Georgia, to its authorized local dealers and distributors.

Finally, the exercise of jurisdiction over defendant comports with traditional notions of fair play and substantial justice. In assessing the reasonableness of a forum's assertion of jurisdiction over a non-resident defendant, the court considers:

(1) the burden on defendant in litigating the lawsuit; (2) the forum state's interest in adjudicating the dispute; (3) the plaintiff's interest in obtaining convenient and effective relief; (4) the interstate judicial system's interest in obtaining the most efficient resolution of controversies; and (5) the shared interest of the states in furthering fundamental social policies.

*World-Wide Volkswagen Corp. v. Woodson*, 444 U.S. 286, 292, 100 S. Ct. 559, 62 L. Ed. 2d 490 (1980). Georgia is the most convenient forum for plaintiff, who resided in Georgia during his employment with defendant and remains a resident of this state. Georgia also has an interest in protecting against and adjudicating contract disputes that involve, at least partially, transactions with Georgia companies and that occur within the state. "[O]ften the interests of the plaintiff and the [\*12] forum in the exercise of jurisdiction will justify even the serious burdens placed on the alien defendant." *Asahi Metal Industry Co. v. Superior Court of California*, 480 U.S. 102, 114, 107 S. Ct. 1026, 94 L. Ed. 2d 92 (1987). Plaintiff has agreed to conduct depositions in Virginia or North Carolina to diminish the inconvenience to defendant. The court, therefore, finds that defendant will not be seriously burdened by defending this lawsuit in Georgia.

Accordingly, defendant's motion to dismiss for lack of personal jurisdiction [4-1] is hereby **DENIED**.

IT IS SO ORDERED, this 18th day of March, 2008.

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*/s/ William C. O'Kelley*

WILLIAM C. O'KELLEY

Senior United States District Judge

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