



Person Name: Richard D Kahn	Date of Birth: [REDACTED]
Address: Country: United States	
Tracking ID: 6710214	Reporting ID: 6710214

Alert #: 1

Alert ID: 1677299.11526362.42755808

Entity Information

Entity ID: [42755808](#)  
Entity Name: Richard Kahn  
Address: NY, UNITED STATES  
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.

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=1e4145a0738edfc25d3f3d53eb346cc4>  
Source Name: NY Stock Exchange Disciplinary Actions, 08/05/2013  
Source URL: <http://www.nyse.com/regulation/nyse/1022221394131.html>  
Entity URL: 

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

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