



DB12000P - Deutsche Bank Private Bank

Alert

Batch Date: 5/30/2018

Alert Date:

5/30/2018

Added to Monitoring: 05/30/2018

<b>Person Name:</b> Richard D Kahn	<b>Date of Birth:</b> [REDACTED]
<b>Address:</b> Country: VIRGIN ISLANDS, U.S.	
<b>Tracking ID:</b> KYC 01946825	<b>Reporting ID:</b>

Alerted Entity #: 1 of 1      Risk Priority: Critical      Alert ID: 13917575.11632114.64761053

**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, [New York Stock Exchange Disciplinary Actions](#)  
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**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, 05/30/2018  
**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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