



DB12000P - Deutsche Bank Private Bank

Batch Date: 11/13/2014

Alert Date:

Alert

11/13/2014

Person Name: Richard Kahn

Date of Birth: [REDACTED]

Address: Country:United States

Tracking ID: Gcis 00000486407

Reporting ID:

Alert #: 1

Alert ID: 2592436.11563606.42755808

Entity Information

Entity ID: [REDACTED]

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, 11/06/2014

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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Page 1 of 1