



DB12000P - Deutsche Bank Private Bank

Batch Date:

09/03/2013

Alert Date:

Alert

09/03/2013

Person Name: Richard D Kahn

Date of Birth: 12/06/1972

Address: Country:United States

Tracking ID: 6710214

Reporting ID: 6710214

Alert #: 1

Alert ID: 1677299.11526362.42755808

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, 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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Page 1 of 1