rdc

DB12000P - Deutsche Bank Private Bank   **Alert**
Batch Date: 10/12/2016   Alert Date: 10/12/2016
Added to Monitoring: 10/12/2016

Person Name:	Richard Kahn	Date of Birth:	
Address:	Country:United States		
Tracking ID:	GCIS 00000483290	Reporting ID:	KYC 01651789

Alerted Entity #: 1 of 4   Alert ID: 6471205.11593658.64761053

Entity Information

Entity ID:	64761053
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, NY Stock Exchange Disciplinary Actions
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., 04/20/2012, NY Stock Exchange Disciplinary Actions

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, 10/11/2016
Entity URL:	• http://www.nyse.com/regulation/nysearca/1219704561473.html
	• http://www.nyse.com/pdfs/12-ARCA-3.pdf
Sources:	NY Stock Exchange Disciplinary Actions, NY Stock Exchange Disciplinary Actions, http://www.nyse.com/regulation/nyse/1022221394131.html

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)   DB-SDNY-0054824
CONFIDENTIAL   SDNY_GM_00201008
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