



DB12000P - Deutsche Bank Private Bank

Batch Date: 6/16/2017
Added to Monitoring: 06/16/2017

Alert Date:

Alert
6/16/2017

Person Name: Richard Kahn

Date of Birth: [REDACTED]

Address: Country: UNITED STATES

Tracking ID: KYC 1791049

Reporting ID:

Alerted Entity #: 1 of 2

Risk Priority: Critical

Alert ID: 9480093.11602748.64761053

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, [New York Stock Exchange Disciplinary Actions](#)

Event: • REG - Regulatory Action / ACT - Disciplinary, Regulatory Action, 04/20/2012

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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, 06/15/2017

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>