

LEGAL RESULTS:

Court Cases:

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Watchlists and Blacklists

June 9, 2017

Richard Kahn

SOURCE:

COUNTRY: United States of America
LIST NAME: NYSE Arca Enforcement
AUTHORITY: New York Stock Exchange

***** **PERSONAL INFORMATION** *****

COUNTRY: United States of America
ADDITIONAL INFORMATION: Decision number: 12-ARCA-3

***** **OTHER INFORMATION** *****

LIST INFORMATION:

ENTITY TYPE: I
DATE OF PUBLICATION: April 20, 2012
LIST NAME: NYSE Arca Enforcement
DATE OF INFORMATION: January 23, 2017
CASE: Name on the list of Arca Disciplinary Actions (Position: ETP Holder Limited Partner)
COUNTRY: United States of America

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