DB12000P - Deutsche Bank Private Bank | **Alert**

Batch Date: 6/16/2017 **Alert Date:** 6/16/2017

Added to Monitoring: 06/16/2017

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:
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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

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DB-SDNY-0065510
SDNY_GM_00211694
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