

**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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