



DB12000P - Deutsche Bank Private Bank

Batch Date: 5/30/2018  
Added to Monitoring: 05/30/2018

Alert Date: 5/30/2018

Alert  
5/30/2018

Person Name: Richard D Kahn Date of Birth: 12/06/1972  
Address: Country: VIRGIN ISLANDS, U.S.  
Tracking ID: KYC 01946825 Reporting ID:

Alerted Entity #: 1 of 1 Risk Priority: Critical Alert ID: [REDACTED]

Entity Information

Entity ID: [REDACTED]  
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, 05/30/2018  
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>