



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  
Address: Country: UNITED STATES  
Tracking ID: KYC [REDACTED]

Date of Birth: [REDACTED]  
Reporting ID:

Alerted Entity #: 1 of 1 Risk Priority: Critical Alert ID: 13917575.11632113.64761053

Entity Information

Entity ID: [REDACTED]  
Riskid: [REDACTED]  
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  
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](#)

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>