



**Revised\_CLEARED\_Richard D Kahn rdc alert [1]**

PWMUS AMLKYC to: Amanda Kirby

11/01/2013 10:54 AM

Sent by: Michael Vila

Cc: Jacqueline Lightbody, PWMUS AMLKYC, Janice Franklin

2 attachments



Richard D Kahn rdc alert\_1.pdf



Richard D Kahn rdc alert.pdf

Classification: For internal use only

Hi Amanda -

This is a revision to the below clearance for Mr. Kahn - after further review it appears the below alert dated 9/3/2013 is a false positive. AML Compliance has reviewed an email dated 10/31/2013 that the business received from Mr. Kahn attesting that he has not been bared from NYSA Arca and that he is not the same individual as the alerted party. According to that email, our Mr. Kahn has been working at his company, HBRK Associates Inc for the past 3 years. The alert involves a Richard Kahn who was a limited partner of PennMont Securities, a former broker dealer, NASDAQ OMX PHLX and NYSE Arca member. On February 26, 2013 PennMont was banned from NYSE Arca membership due to various accounting, record keeping, and supervisory control deficiencies. AML Compliance finds these statements made by our Mr. Kahn reasonable evidence, and clears this alert as a false positive.

Please see the email chain attached to this KYC, thanks!

Best, Michael



Michael Vila

Team Manager | AML Compliance

Deutsche Bank Securities Inc.  
Asset & Wealth Management  
5022 Gate Parkway, Suite 400, 32256 Jacksonville, USA  
Tel. [REDACTED]  
Email [REDACTED]

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Amanda Kirby---09/04/2013 11:09:44 AM---Classification: For internal use only Hi, The below RDC alerts do pertain to our client. Richard D