

DB12000P - Deutsche Bank Private Bank

11/13/2014

Batch Date:

Person Name: Richard Kahn

Address:

Country:United States

Tracking ID: Gcis 00000486407

Alert #: 1

Entity Information

Entity ID: [REDACTED]

Entity Name: Richard Kahn

Address: NY, UNITED STATES

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.

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Source Information

RDC URL: [https://grid.rdc.com/wss/entity.html?-  
entityId=1e4145a0738edfc25d3f3d53eb346cc4](https://grid.rdc.com/wss/entity.html?entityId=1e4145a0738edfc25d3f3d53eb346cc4)

Source Name: NY Stock Exchange Disciplinary Actions, 11/06/2014

Source URL: <http://www.nyse.com/regulation/nyse/1022221394131.html>

Entity URL: <http://www.nyse.com/regulation/nysearca/1219704561473.html>•

• <http://www.nyse.com/pdfs/12-ARCA-3.pdf>

Reporting ID:

Alert ID: [REDACTED]

Alert

Alert Date:

Date of Birth: 12/06/1972

11/13/2014

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