

Entity: Richard Kahn

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.

Source Information

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

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

Source Name: NY Stock Exchange Disciplinary Actions, 07/31/2012

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>

Copyright © 2014 Regulatory DataCorp, Inc. All Rights Reserved. Document generated on 11/14/2014 10:04:39