

DB12000P - Deutsche Bank Private Bank

10/12/2016

Batch Date:

Added to Monitoring: 10/12/2016

Person Name: Richard Kahn

Address:

Date of Birth:

Country:United States

Tracking ID: GCIS 00000483290

Alerted Entity #: 1 of 4

Entity Information

Entity ID: 64761053

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, NY 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, NY Stock Exchange Disciplinary Actions

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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, 10/11/2016

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

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

Sources: NY Stock Exchange Disciplinary Actions, NY Stock Exchange Disciplinary Actions,

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

Reporting ID: KYC 01651789

Alert ID: 6471205.11593658.64761053

Alert

Alert Date:

10/12/2016

Consistent with the terms and conditions of your RDC Subscriber Agreement, the information contained in this document is for alert purposes only and is not to be used for purposes of determining an individual's eligibility for any credit or any other FCRA permissible purposes. User further agrees to hold such material and information in strictest confidence, not to make use thereof other than for authorized purposes, to relate it only to employees requiring such information, and not to release or disclose it to any other party. The Alert information contained in this document may or may not pertain to the individual or entity referenced in your inquiry.

Page 1 of 4

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Batch Date:

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Person Name: Richard Kahn

Address:

Date of Birth:

Country:United States

Tracking ID: GCIS 00000483290

Alerted Entity #: 2 of 4

Entity Information

Entity ID: 61546436

Riskid: R19372476

Entity Name: RICHARD JEFFREY KAHN

Address: Florida, UNITED STATES

Recent Event(s): REG - Regulatory Action / FIM - Fine - More than \$10,000, 06/21/2011

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This entity appears on the Florida Office of Financial Regulation list of Final Orders. Richard J. Kahn shall pay an administrative fine of \$20,000 with the submission of this Stipulation and Consent Agreement, 06/21/2011, US Florida Office of Financial Regulation Final Orders
Event: REG - Regulatory Action / FIM - Fine - More than \$10,000, 06/21/2011

•
This entity appears on the Florida Office of Financial Regulation list of Final Orders. Richard J. Kahn shall pay an administrative fine of \$20,000 with the submission of this Stipulation and Consent Agreement, 06/21/2011, US Florida Office of Financial Regulation Final Orders
Alert Notes

Notes: Richard Jeffrey Kahn, of Florida, appears on Florida Office of Financial Regulation list of Final Orders.

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=6e6eb2a5d59448e75d3f3d53eb346cc4>

Source Name: RiskConnect, 10/11/2016

Entity URL: <https://real.flofr.com/Documents/View.aspx?docGuid=5F712B04-5DC0-466E-A0C217F882707D5D&docFileName=0154-sr-5-11.pdf>

Sources:

US Florida Office of Financial Regulation Final Orders, US Florida Office of Financial Regulation Final Orders,

<https://real.flofr.com/ConsumerServices/SearchLegalDocuments/LDSearch.aspx#/searchLegalDocuments>

Reporting ID: KYC 01651789

Alert ID: 6471205.11593658.61546436

Alert

Alert Date:

10/12/2016

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Page 2 of 4

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Batch Date:

Added to Monitoring: 10/12/2016

Person Name: Richard Kahn

Address:

Date of Birth:

Country:United States

Tracking ID: GCIS 00000483290

Alerted Entity #: 3 of 4

Entity Information

Entity ID: 75766498

Riskid: R112038707

Entity Name: Richard Leroy Kann

Alias: RICHARD L KAHN•

• RICK KANN

Recent Event(s): SEX - Sex Offenses (Rape, Sodomy, Sexual Abuse, Pedophilia) / CVT - Convict, Conviction, 03/11/2013

SEXUAL EXPLOITATION/CHILD/POSS MATERIAL, 03/11/2013, Colorado - Sex Offenders

Address: GOLDEN, Colorado, 80401, UNITED STATES

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Event: SEX - Sex Offenses (Rape, Sodomy, Sexual Abuse, Pedophilia) / CVT - Convict, Conviction, 03/11/2013

SEXUAL EXPLOITATION/CHILD/POSS MATERIAL, 03/11/2013, Colorado - Sex Offenders

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Date Of Birth: [REDACTED]

Eye Color: Brown

Hair Color: Brown

Height: 5'08"

Race: White

Scars or Marks: Missing Finger joint(s) - left hand

Sex: Male

Weight: 220lb

Image:

Reporting ID: KYC 01651789

Alert ID: 6471205.11593658.75766498

Alert

Alert Date:

10/12/2016

Alert Notes

Notes: Richard Leroy Kann aka RICHARD L KAHN, DOB: [REDACTED], of GOLDEN, Colorado, appears on the list of

Colorado - Sex Offenders

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=7acd1ce3aa8ec1f35d3f3d53eb346cc4>

Source Name: RiskConnect, 10/11/2016

Entity URL: <https://www.colorado.gov/apps/cdps/sor/search/search-detail.jsf?id=XX12445274>

Sources: Colorado - Sex Offenders, Colorado - Sex Offenders, <http://sor.state.co.us/index.cfm?SOR=offender.list>

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Page 3 of 4

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Person Name: Richard Kahn

Address:

Date of Birth:

Country:United States

Tracking ID: GCIS 00000483290

Alerted Entity #: 4 of 4

Entity Information

Entity ID: 44883229

Riskid: R1989168

Entity Name: Richard L. Kahn

Address: Havana, UNITED STATES

Recent Event(s): DTF - Trafficking or Distribution of Drugs / WTD - Wanted, 07/13/2001

wanted on a charge of calculated criminal drug conspiracy, 07/13/2001, Peoria Journal Star

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Event: DTF - Trafficking or Distribution of Drugs / WTD - Wanted, 07/13/2001
wanted on a charge of calculated criminal drug conspiracy, 07/13/2001, Peoria Journal Star

•
Date Of Birth: [REDACTED]

Alert Notes

Notes: Richard L. Kahn, [REDACTED], of Havana, Illinois, was wanted on a charge of calculated criminal drug conspiracy.

Source Information

RDC URL: <https://grid.rdc.com/wss/entity.html?entityId=fed61c75d73e92525d3f3d53eb346cc4>

Source Name: RiskConnect, 10/11/2016

Sources: Peoria Journal Star, MEDIA Article,United States,Headline:Police, fire and courts,

<http://global.factiva.com/en/du/article.asp?NAPC=S&AccessionNo=prjs000020010719dx7d000pq>

Reporting ID: KYC 01651789

Alert ID: 6471205.11593658.44883229

Alert

Alert Date:

10/12/2016

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