

DB12000P - Deutsche Bank Private Bank

6/16/2017

Batch Date:

Added to Monitoring: 06/16/2017

Person Name: Richard Kahn

Address:

Date of Birth: 12/06/1972

Country:UNITED STATES

Tracking ID: KYC 1791049

Alerted Entity #: 1 of 2

Entity Information

Risk Priority: Critical

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, New York Stock Exchange Disciplinary Actions

•
Event: REG - Regulatory Action / ACT - Disciplinary, Regulatory Action, 04/20/2012

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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

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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, 06/15/2017

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>

Reporting ID:

Alert ID: 9480093.11602748.64761053

Alert

Alert Date:

6/16/2017

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Tracking ID: KYC 1791049

Alerted Entity #: 2 of 2

Entity Information

Risk Priority: Critical

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

•
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](https://grid.rdc.com/wss/entity.html?entityId=6e6eb2a5d59448e75d3f3d53eb346cc4)

Source Name: RiskConnect, 06/15/2017

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>

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