

DB12000P - Deutsche Bank Private Bank

5/30/2018

Batch Date:

Added to Monitoring: 05/30/2018

Person Name: Richard D Kahn

Address:

Tracking ID: KYC 01946825

Alerted Entity #: 1 of 1

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

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

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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](https://grid.rdc.com/wss/entity.html?entityId=66818b2ebc904e4b5d3f3d53eb346cc4)

Source Name: RiskConnect, 05/30/2018

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>

Date of Birth: [REDACTED]

Country:UNITED STATES

Reporting ID:

Alert ID: 13917575.11632113.64761053

Alert

Alert Date:

5/30/2018

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