

DB12000P - Deutsche Bank Private Bank

09/03/2013

Batch Date:

Person Name: Richard D Kahn

Address:

Tracking ID: 6710214

Alert #: 1

Entity Information

Entity ID: 42755808

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?entityId=1e4145a0738edfc25d3f3d53eb346cc4>

Source Name: NY Stock Exchange Disciplinary Actions, 08/05/2013

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>

Country:United States

Reporting ID: 6710214

Alert ID: 1677299.11526362.42755808

Alert

Alert Date:

Date of Birth:

09/03/2013

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 individuals 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 1