

Subject: Rich Kahn [I]
From: Amanda Kirby <[REDACTED]>
Date: Thu, 31 Oct 2013 11:22:16 -0400
To: Paul Morris <[REDACTED]>

Classification: For internal use only

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.

(See attached file: Richard D Kahn RDC alert1.pdf)

Best,
Amanda Kirby

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Amanda Kirby
Associate

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