



DB12000P - Deutsche Bank Private Bank

Alert

Batch Date: 7/20/2017
Added to Monitoring: 07/20/2017

Alert Date: 7/20/2017

Person Name: Richard Kahn Date of Birth: [REDACTED]
Address: Country: UNITED STATES
Tracking ID: [REDACTED] Reporting ID:

Alerted Entity #: 1 of 1 Risk Priority: Critical Alert ID: 9613879.11605421.64761053

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, 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, 07/19/2017
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>

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