

**NAME SEARCHED: Richard Kahn**

PWM BIS-RESEARCH performed due diligence research in accordance with the standards set by AML Compliance for your business. We completed thorough searches on your subject name(s) in the required databases and have attached the search results under the correct heading below. Significant negative media results may require escalation to senior business, Legal and Compliance management. Also, all accounts involving PEPs must be escalated.

Search:	Result:	Click here for results:	Reviewer Comments (as necessary):
RDC	<input type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input checked="" type="checkbox"/> Hit	I. <a href="#">RDC Results</a>	RDC alert (Mail sent separately)
PCR	<input checked="" type="checkbox"/> No Hit <input type="checkbox"/> Not Required <input type="checkbox"/> Hit	II. <a href="#">PCR Results</a>	No PCR alert (Please see attached)
BIS	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <input type="checkbox"/> Not Required	III. <a href="#">Negative Media</a>	There was no information found
		IV. <a href="#">Non-Negative Media</a>	There was no information found
		V. <a href="#">Other Language Media</a>	There was no information found
D&B	Results? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Required	VI. <a href="#">D&amp;B</a>	Not required
Smartlinx	Results? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required	VII. <a href="#">Smartlinx</a>	Result found(Please see attached)
Court Cases	<input checked="" type="checkbox"/> Review by Legal May be Required <input type="checkbox"/> No Results <input type="checkbox"/> Search not required	VIII. <a href="#">Court Cases</a>	Result found(Please see attached)

Prepared by: Reena Chandwani Date:07/21/2017  
Research Analyst

**Instructions:**

1. Review and confirm that all results are returned for your client.
2. Please note that you are still required to perform any Martindale-Hubbell search (if applicable) on each search subject. We have attached the web link below for your convenience: [Martindale-Hubbellhttp://www.martindale.com/xp/Martindale/home.xml](http://www.martindale.com/xp/Martindale/home.xml)
3. As needed, provide comment for any negative results.
4. If applicable, please obtain clearance from Compliance for all alerts.
5. Save any changes you make to this document and attach file to your KYC.

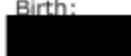
Please note: Submission of a signed KYC is your confirmation that you have fully reviewed the research documents.

For internal use only


SDNY\_GM\_00060362

**OFAC RESULTS**

**RDC:**

11605421 <u>Alerted</u>	KYC 1804531	 Richard Kahn	Country: UNITED STATES	Date of Birth: 
-------------------------	-------------	---	------------------------	---

**PCR:**

 Richard Kahn 6201215544 NCA customised Closed - No Hit 21/07/2017

**BIS RESULTS**

**Negative Media:**

There was no information found

**Non-Negative Media:**

There was no information found

**Other Language Media:**

There was no information found

**Public Records:**

**1 OF 1 RECORD(S)**

FOR INFORMATIONAL PURPOSES ONLY  
Copyright 2017 LexisNexis  
a division of Reed Elsevier Inc. All Rights Reserved.

Date: 7/21/2017  
Report processed by:  
DEUTSCHE BANK AG||

**Full Name**  
KAHN, RICHARD KEITH

**Address**



**County**



**Phone**



For internal use only

SDNY\_GM\_00060363



No.	Address
	[REDACTED]
7:	[REDACTED]
8:	[REDACTED]
9:	[REDACTED]
10:	[REDACTED]
11:	[REDACTED]
12:	[REDACTED]
13:	[REDACTED]
14:	[REDACTED]

**Address Details**

1: [REDACTED]

**Address**  
[REDACTED]

**Dates**  
8/2009 - 7/2017

**Phone**  
[REDACTED]

**Census Data for Geographical Region**

Median Head of Household Age: 31  
Median Income: \$67,144  
Median Home Value: \$227,290  
Median Education: 14 years

**Household Members**

None Listed

**Other Associates**

HOLLAND, FRANCIS ANTHONY

2: [REDACTED]

**Address**  
[REDACTED]

**Dates**  
1/1998 - 3/2017

**Phone**

For internal use only

SDNY\_GM\_00060365

**CONFIDENTIAL**

**Census Data for Geographical Region**

Median Head of Household Age: 33  
Median Income: \$116,389  
Median Home Value: \$384,341  
Median Education: 15 years

**Household Members**

KAHN, BETH ANN  
KAHN, BRITTANY N  
KAHN, TURNER FRANCIS  
KAHN, VINCENT RICHARD

**Other Associates**

None Listed

3: [Redacted]  
A [Redacted]

**Dates**                      **Phone**  
9/2006 - 3/2013

**Census Data for Geographical Region**

Median Head of Household Age: 36  
Median Income: \$69,404  
Median Home Value: \$247,451  
Median Education: 12 years

**Household Members**

None Listed

**Other Associates**

None Listed

4: [Redacted]  
Address [Redacted]

**Dates**                      **Phone**  
2001 - 11/2012

**Census Data for Geographical Region**

Median Head of Household Age: 33  
Median Income: \$116,389  
Median Home Value: \$384,341  
Median Education: 15 years

**Household Members**

KAHN, BETH ANN

**Other Associates**

HOLLAND, FRANCIS JR

5: [Redacted]  
Address [Redacted]

**Dates**                      **Phone**  
7/2008 - 7/2008

**Census Data for Geographical Region**

Median Head of Household Age: 31  
Median Income: \$67,144  
Median Home Value: \$227,290  
Median Education: 14 years

**Household Members**

None Listed

For internal use only

SDNY\_GM\_00060366

**CONFIDENTIAL**

**Other Associates**

None Listed

6:

Address

Dates

8/2001 - 6/2008

Phone

**Census Data for Geographical Region**

Median Head of Household Age: 33  
Median Income: \$116,389  
Median Home Value: \$384,341  
Median Education: 15 years

**Household Members**

KAHN, BETH ANN

**Other Associates**

None Listed

7:

Address

Dates

7/1996 - 8/2005

Phone

**Census Data for Geographical Region**

Median Head of Household Age: 37  
Median Income: \$86,169  
Median Home Value: \$376,682  
Median Education: 14 years

**Household Members**

None Listed

**Other Associates**

None Listed

8:

Address

Dates

8/2001 - 4/2004

Phone

**Census Data for Geographical Region**

Median Head of Household Age: 31  
Median Income: \$65,313  
Median Home Value: \$289,205  
Median Education: 14 years

**Household Members**

None Listed

**Other Associates**

None Listed

9:

Address

Dates

11/1990 - 1/2003

Phone

**Census Data for Geographical Region**

Median Head of Household Age: 37  
Median Income: \$133,929  
Median Home Value: \$528,970

For internal use only

SDNY\_GM\_00060367

**CONFIDENTIAL**

Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

None Listed

10: [REDACTED]

**Address**

[REDACTED]

**Dates**

7/1993 - 7/1996

**Phone**

[REDACTED]

**Census Data for Geographical Region**

Median Head of Household Age: 44

Median Income: \$161,250

Median Home Value: \$572,434

Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

HOLLAND, MARY A

11: 7 JEANNE MARIE GDNS [REDACTED]

**Address**

[REDACTED]

**Dates**

12/1993 - 12/1993

**Phone**

**Census Data for Geographical Region**

Median Head of Household Age: 47

Median Income: \$83,833

Median Home Value: \$503,378

Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

None Listed

12: [REDACTED]

**Address**

[REDACTED]

**Dates**

11/1990 - 11/1993

**Phone**

[REDACTED]

**Census Data for Geographical Region**

Median Head of Household Age: 40

Median Income: \$139,773

Median Home Value: \$640,457

Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

None Listed

13: [REDACTED]

**Address**

[REDACTED]

**Dates**

11/1992 - 11/1992

**Phone**

**Census Data for Geographical Region**

Median Head of Household Age: 47

For internal use only

SDNY\_GM\_00060368

**CONFIDENTIAL**

Median Income: \$83,833  
Median Home Value: \$503,378  
Median Education: 15 years

**Household Members**

None Listed

**Other Associates**

None Listed

14: [REDACTED]

**Address**

[REDACTED]

**Dates**

10/1990 - 10/1990

**Phone**

[REDACTED]

**Household Members**

None Listed

**Other Associates**

None Listed

**Voter Registrations - 10 records found**

**1: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address: [REDACTED]  
SSN: [REDACTED]  
Date of Birth: [REDACTED]

Gender: Male

**Voter Information**

Registration Date: 12/17/1990  
Last Vote Date: 11/1992  
Party Affiliation: REPUBLICAN  
Status: TRANSFER MOVED

**2: Delaware Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address: [REDACTED]  
Home Phone: [REDACTED]  
SSN: [REDACTED]  
Date of Birth: [REDACTED]

**Voter Information**

Registration Date: 5/29/2002  
Last Vote Date: 11/2/2004  
Party Affiliation: INDEPENDENT

**3: Delaware Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address: [REDACTED]

For internal use only

SDNY\_GM\_00060369

**CONFIDENTIAL**

Home Phone: [REDACTED]  
SSN: [REDACTED]  
Date of Birth: [REDACTED]

**Voter Information**

Registration Date: 5/29/2002  
Last Vote Date: 11/4/2008  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**4: Delaware Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address: [REDACTED]  
Home Phone: [REDACTED]  
SSN: [REDACTED]  
Date of Birth: [REDACTED]

**Voter Information**

Registration Date: 5/29/2002  
Last Vote Date: 11/6/2012  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**5: Delaware Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address: [REDACTED]  
SSN: [REDACTED]  
Date of Birth: [REDACTED]

**Voter Information**

Registration Date: 5/29/2002  
Last Vote Date: 11/6/2012  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**6: Delaware Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address: [REDACTED]  
Home Phone: [REDACTED]  
SSN: [REDACTED]  
Date of Birth: [REDACTED]

**Voter Information**

Registration Date: 5/29/2002  
Last Vote Date: 11/4/2014  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**7: Delaware Voter Registration**

**Registrant Information**

For internal use only

SDNY\_GM\_00060370

**CONFIDENTIAL**

Name: KAHN, RICHARD K

Residential Address:



SSN:  
Date of Birth:

**Voter Information**

Registration Date: 5/29/2002  
Last Vote Date: 11/4/2008  
Party Affiliation: INDEPENDENT  
Active Status: ACTIVE

**8: Delaware Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address:



SSN:  
Date of Birth:

**Voter Information**

Registration Date: 4/28/2005  
Last Vote Date: 11/2/2004  
Party Affiliation: INDEPENDENT

**9: Delaware Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address:



Home Phone:  
SSN:  
Date of Birth:

**Voter Information**

Registration Date: 8/24/2006  
Last Vote Date: 11/2/2004  
Party Affiliation: INDEPENDENT

**10: New York Voter Registration**

**Registrant Information**

Name: KAHN, RICHARD K

Residential Address:



SSN:  
Date of Birth:  
Gender: Male

**Voter Information**

Registration Date: 6/14/1994  
Party Affiliation: DEMOCRAT

**Driver Licenses - 1 records found**

For internal use only

SDNY\_GM\_00060371

**CONFIDENTIAL**

1: New York Driver License

Driver Information

Name: KAHN, RICHARD K

Address: [REDACTED]

Data source: Non-Governmental, NY

Personal Information

SSN: [REDACTED]

DOB: [REDACTED]

Additional Driver Information

DOB: 09/1972

Professional Licenses - 2 records found

1: Professional License

Licensee Information

Name: KAHN, RICHARD

SSN: [REDACTED]

Address: [REDACTED]

County: [REDACTED]

Gender: [REDACTED]

License Information

License Type: PILOT

2: Professional License

Licensee Information

Name: KAHN, RICHARD KEITH

SSN: [REDACTED]

Address: [REDACTED]

County: [REDACTED]

License Information

License Type: PILOT - AIRPLANE

License Number: [REDACTED]

Status: CURRENT

Health Care Providers - 0 records found

Health Care Sanctions - 0 records found

Pilot Licenses - 5 records found

1:

Name: KAHN, RICHARD KEITH

Address: [REDACTED]

Record Type: ACTIVE

Certification Class: 3

Medical Certification Date: 1/2017

Certification

Type: P

Level: S

Certification

Type: P

Level: P

Ratings: P/ASEL

2:

Name: KAHN, RICHARD KEITH

Address: [REDACTED]

For internal use only

SDNY\_GM\_00060372

CONFIDENTIAL

3:                   Record Type: UNK  
                      Certification Class: 3  
                      Medical Certification Date: 12/2014                   Certification  
                          Type: P  
                          Level: S   Certification  
                          Type: P  
                          Level: P  
                          Ratings: P/ASEL

3:                   Name: KAHN, RICHARD KEITH  
                      Address: [REDACTED]  
                      Record Type: [REDACTED]  
                      Certification Class: 3  
                      Medical Certification Date: 12/2014                   Certification  
                          Type: P  
                          Level: S   Certification  
                          Type: P  
                          Level: P  
                          Ratings: P/ASEL

4:                   Name: KAHN, RICHARD KEITH  
                      Address: [REDACTED]  
                      Record Type: [REDACTED]  
                      Certification Class: 3  
                      Medical Certification Date: 1/2012                   Certification  
                          Type: P  
                          Level: S   Certification  
                          Type: P  
                          Level: P  
                          Ratings: P/ASEL

5:                   Name: KAHN, RICHARD KEITH  
                      Address: [REDACTED]  
                      Record Type: [REDACTED]  
                      Certification Class: 3  
                      Medical Certification Date: 1/2012  
                      Medical Date Expires: 1/2015                   Certification  
                          Type: P  
                          Level: S   Certification  
                          Type: P  
                          Level: P  
                          Ratings: P/ASEL

**Sport Licenses - 0 records found**  
**Real Property - 7 records found**

**1: Assessment Record for NEW CASTLE County, DE  
Owner Information**

For internal use only

SDNY\_GM\_00060373

**CONFIDENTIAL**

Name: KAHN RICHARD & BETH  
Address: [REDACTED]  
County/FIPS: NEW CASTLE

**Property Information**

Address: [REDACTED]  
County/FIPS: NEW CASTLE  
Data Source: B

**Legal Information**

Assessor's Parcel [REDACTED]  
Number:  
Recording Date: 08/28/2009

**Assessment Information**

Assessed Value: \$348600

**2: Assessment Record for KENT County, DE**

**Owner Information**

Name: KAHN, RICHARD K  
Name: LIBORIO III, L P  
Address: [REDACTED]  
County/FIPS: NEW CASTLE

**Property Information**

Address: 90 LIBORIO LN SMYRNA, DE 19977-7711  
County/FIPS: KENT  
Data Source: B

**Legal Information**

Assessor's Parcel [REDACTED]  
Number:  
Recording Date: 09/11/2006

**Mortgage Information**

Lender Name: FIRST AMER.REAL ESTATE TX SVCE

**Assessment Information**

Assessed Value: \$43500  
Market Land Value: \$4600  
Market Improvement Value: \$38900  
Total Market Value: \$43500

**3: Deed Record for NEW CASTLE County**

**Buyer Information**

Name: KAHN, RICHARD  
Name: KAHN, BETH  
Address: [REDACTED]  
County/FIPS: NEW CASTLE

**Seller Information**

For internal use only

SDNY\_GM\_00060374

**CONFIDENTIAL**

Name: JONES, JOHN E  
Name: JONES, DONNA  
Address: [REDACTED]  
County/FIPS: WINNEBAGO

**Property Information**

Address: [REDACTED]  
County/FIPS: [REDACTED]  
Data Source: B

**Lender Information**

Name: WEICHERT FINANCIAL SERVICES

**Legal Information**

Assessor's Parcel Number: [REDACTED]  
Contract Date: [REDACTED]  
Recording Date: [REDACTED]  
Document Number: [REDACTED]  
Document Type: DEED

**Sale Information**

Sale Price: \$380000

**Mortgage Information**

Loan Amount: \$304000  
Loan Type: THIS CODE IS USED ONLY FOR BKFS LEGACY  
Title Company: NONE AVAILABLE

**4: Assessment Record for NEW CASTLE County, DE**

**Owner Information**

Name: KAHN RICHARD K & BETH A  
Address: [REDACTED]  
County/FIPS: [REDACTED]

**Property Information**

Address: [REDACTED]  
County/FIPS: [REDACTED]  
Data Source: B

**Legal Information**

Assessor's Parcel Number: [REDACTED]  
Recording Date: 01/24/2002

**Sale Information**

Sale Price: \$300485

**Assessment Information**

Assessed Value: \$133300

**5: Assessment Record for ORANGE County, NY**

**Owner Information**

For internal use only

SDNY\_GM\_00060375

**CONFIDENTIAL**

Name: KAHN RICHARD K

**Property Information**

Address: [REDACTED]

County/FIPS: ORANGE

Data Source: B

**Legal Information**

Assessor's Parcel [REDACTED]

Number:

Recording Date: 08/08/2001

Book/Page: 5596/96

**Sale Information**

Sale Price: \$290000

**Assessment Information**

Assessed Value: \$71800

**6: Deed Record for NEW CASTLE County**

**Buyer Information**

Name: KAHN, RICHARD K

Name: KAHN, BETH A

Address: [REDACTED]

County/FIPS: NEW CASTLE

**Seller Information**

Name: DOUBLE S FINE HOMES INC

**Property Information**

Address: [REDACTED]

County/FIPS: NEW CASTLE

Data Source: B

**Lender Information**

Name: GILPIN FINANCIAL SERVICES INC

**Legal Information**

Assessor's Parcel [REDACTED]

Number:

Contract Date: 01/24/2002

Recording Date: 01/24/2002

Document Number: [REDACTED]

Document Type: DEED

**Sale Information**

Sale Price: \$300485

**Mortgage Information**

Loan Amount: \$275000

**7: Deed Record for ORANGE County**

**Buyer Information**

Name: KAHN, RICHARD K

For internal use only

SDNY\_GM\_00060376

**CONFIDENTIAL**

Name: KAHN, BETH A  
Address: [REDACTED]  
County/FIPS: ROCKLAND

**Seller Information**

Name: WHEELER HOMES INC  
Address: [REDACTED]  
County/FIPS: ORANGE

**Property Information**

Data Source: B

**Legal Information**

Assessor's Parcel [REDACTED]  
Number:  
Contract Date: 07/18/1996  
Recording Date: 07/25/1996  
Document Type: DEED  
Book/Page: 4419/270

**Sale Information**

Sale Price: \$199495

**Motor Vehicle Registrations - 10 records found**

1: DE MVR

**Registrant Information**

Registrant: KAHN, RICHARD K  
DOB: [REDACTED]  
Address: [REDACTED]

**Registration Information**

Original Registration Date: 9/25/2014  
Registration Date: 1/18/2017  
Registration Expiration Date: 1/18/2019

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2008  
Make: Ford  
Model: Mustang  
Series: GT  
Body Style: Coupe

**Plate Information**

Previous Plate Number: [REDACTED]  
Previous Plate State: DE  
License Plate Number: 946927  
Plate State: DE

**Source Information**

Data Source: GOVERNMENTAL

2: DE MVR

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK

For internal use only

SDNY\_GM\_00060377

**CONFIDENTIAL**

Model Year: 2008  
Make: Ford  
Model: Mustang  
Series: GT  
Body Style: Coupe

**Owner Information**

Name: KAHN, RICHARD K

DOB: [REDACTED]  
Address: [REDACTED]

**Title Information**

Title Number: [REDACTED]  
Title Transfer Date: 9/30/2014  
Title Issue Date: 9/30/2014

**Source Information**

Data Source: GOVERNMENTAL

3: DE MVR

**Registrant Information**

**Registrant 1**

Registrant: KAHN, RICHARD K

DOB: [REDACTED]  
Address: [REDACTED]

**Registrant 2**

Registrant: KAHN, VINCENT RICHARD

DOB: [REDACTED]  
Address: [REDACTED]

**Registration Information**

Original Registration Date: 8/18/2015  
Registration Date: 8/18/2015  
Registration Expiration Date: 4/14/2019

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2014  
Make: Jeep  
Model: Cherokee  
Series: TRAILHAWK  
Body Style: 4 Dr Wagon Sport Utility

**Plate Information**

Previous Plate Number: [REDACTED]  
Previous Plate State: DE  
License Plate Number: [REDACTED]  
Plate State: DE

**Source Information**

Data Source: GOVERNMENTAL

4: DE MVR

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK

For internal use only

SDNY\_GM\_00060378

**CONFIDENTIAL**

Model Year: 2014  
Make: Jeep  
Model: Cherokee  
Series: TRAILHAWK  
Body Style: 4 Dr Wagon Sport Utility

**Owner Information**  
**Owner 1**

Name: KAHN, RICHARD K

DOB: [REDACTED]  
Address: [REDACTED]

**Owner 2**

Name: KAHN, VINCENT RICHARD

DOB: [REDACTED]  
Address: [REDACTED]

**Title Information**

Title Number: [REDACTED]  
Title Transfer Date: 8/13/2015  
Title Issue Date: 8/13/2015

**Source Information**

Data Source: GOVERNMENTAL

5: DE MVR

**Registrant Information**

Registrant: KAHN, RICHARD K

DOB: [REDACTED]  
Address: [REDACTED]

**Registration Information**

Original Registration Date: 4/2/2014  
Registration Date: 12/29/2014  
Registration Expiration Date: 4/4/2019

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2014  
Make: Tesla  
Model: Model  
Series: S  
Body Style: Hatchback 4 Door

**Plate Information**

Previous Plate Number: 91563  
Previous Plate State: DE  
License Plate Number: 91563  
Plate State: DE

**Source Information**

Data Source: GOVERNMENTAL

6: DE MVR

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK

For internal use only

SDNY\_GM\_00060379

**CONFIDENTIAL**

Model Year: 2014  
Make: Tesla  
Model: Model  
Series: S  
Body Style: Hatchback 4 Door

**Owner Information**

Name: KAHN, RICHARD K

DOB: [REDACTED]  
Address: [REDACTED]

**Title Information**

Title Number: 00091563  
Title Transfer Date: 4/4/2014  
Title Issue Date: 4/4/2014

**Source Information**

Data Source: GOVERNMENTAL

7: DE MVR

**Registrant Information**

Registrant: KAHN, RICHARD K

DOB: [REDACTED]  
Address: [REDACTED]

**Lessee Information**

**Registration Information**

Original Registration Date: 5/12/2011  
Registration Date: 5/12/2011  
Registration Expiration Date: 5/15/2014

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2012  
Make: Infiniti  
Model: M37  
Series: X  
Body Style: Sedan 4 Door

**Plate Information**

License Plate Number: 978060  
Plate State: DE

**Source Information**

Data Source: GOVERNMENTAL

8: DE MVR

**Registrant Information**

Registrant: KAHN, RICHARD K

DOB: [REDACTED]  
Address: [REDACTED]

**Lessee Information**

**Registration Information**

Original Registration Date: 4/2/2008  
Registration Date: 4/2/2008  
Registration Expiration Date: 3/31/2012

For internal use only

SDNY\_GM\_00060380

**CONFIDENTIAL**

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2007  
Make: Infiniti  
Model: M45  
Series: BASE/SPORT  
Body Style: Sedan 4 Door

**Plate Information**

Plate State: DE

**Source Information**

Data Source: GOVERNMENTAL

9: DE MVR

**Registrant Information**

Registrant: KAHN, RICHARD K

DOB: [REDACTED]

Address: [REDACTED]

**Lessee Information**

**Registration Information**

Original Registration Date: 10/7/2004  
Registration Date: 10/7/2004  
Registration Expiration Date: 9/30/2007

**Vehicle Information**

VIN: [REDACTED]  
Class: PASSENGER CAR/LIGHT TRUCK  
Model Year: 2004  
Make: Infiniti  
Model: G35  
Series: BASE MODEL  
Body Style: Sedan 4 Door

**Plate Information**

Plate State: DE

**Source Information**

Data Source: GOVERNMENTAL

10: Non-Governmental Vehicle Record

**Vehicle Information**

VIN: [REDACTED]  
Class: UNKNOWN  
Model Year: 2012  
Make: Infiniti  
Model: M37  
Series: X  
Body Style: Sedan 4 Door

**Owner Information**

Name: KAHN, RICHARD

DOB: 9/19/72

Address: [REDACTED]

Source Date First Seen: 1/10/2012  
Source Date Last Seen: 4/7/2014

**Source Information**

For internal use only

SDNY\_GM\_00060381

**CONFIDENTIAL**

Data Source: NON-GOVERNMENTAL

**Boats - 0 records found**

**Aircraft - 1 records found**

1: FAA US Aircraft Registrations

Tail Number: [REDACTED]  
 Status: Active  
 Date First: 10/9/2015  
 Date Last: 5/8/2017  
 Last Action Date: 9/24/2015  
 Certification Date: 9/24/2015  
 Manufacturer: BEECH  
 Model/Series: A23-19  
 Type: Fixed wing single engine  
 Weight: Up to 12,499  
 Number of Seats: 4  
 Category: Land  
 Certification: Not Amateur  
 Cruising Speed: 115  
 Number of Engines: 1  
 Engine Type: Reciprocating  
 Engine Manufacturer: LYCOMING  
 Engine Model: O-320 SERIES  
 Engine Horsepower: 180  
 Engine Fuel Consumption: 000000

**Bankruptcy Information - 0 records found**

**Judgments/Liens - 2 records found**

1: Judgments and Liens Filings

**Debtor Information**

Name: KAHN, RICHARD

SSN: [REDACTED]

Address: [REDACTED]

**Creditor Information**

Name: RCD CREDIT AMERICAN FROZEN

**Filing Information**

Amount: \$1,709

Filing Date: 7/30/2001

Case Number: 20013039

**Filing 1**

Type: JUDGMENT

Agency State: NY

2: Judgments and Liens Filings

**Debtor Information**

**Debtor 1**

Name: KAHN, RICHARD K

SSN: [REDACTED]

Address: [REDACTED]

**Debtor 2**

Name: KAHN, BETH A

SSN: [REDACTED]

For internal use only

SDNY\_GM\_00060382

**CONFIDENTIAL**

Address: [REDACTED]

**Creditor Information**

Name: HUDSON VALLEY FCU

**Filing Information**

Amount: \$11,009  
Filing Date: 8/19/1999  
Case Number: 993536T  
Filing Status: SATISFIED

**Filing 1**

Date: 8/16/2001  
Type: JUDGMENT  
Agency State: NY

**UCC Liens - 0 records found  
Fictitious Businesses - 3 records found**

**1: Fictitious Businesses**

**Business Information**

Name: PAIDFORSURF.COM  
Office Address: [REDACTED]  
Jurisdiction: NY  
Type: DBA  
Filing Number: 2052000  
Filing Date: 02/04/2000

**Contact Information**

**Owner 1**

Name: RICHARD K KAHN  
Address: [REDACTED]

Contact Type: OWNER

**Owner 2**

Name: BETTY LAROE  
Contact Type: OWNER

**Owner 3**

Name: DONNA CARTELLI  
Contact Type: OWNER

**Owner 4**

Name: K M NEMCOSKY  
Contact Type: OWNER

**Owner 5**

Name: LYDIA CORTES  
Contact Type: OWNER

**Owner 6**

Name: MICHELLE SOMERVILLE  
Contact Type: OWNER

**Owner 7**

Name: NOAM SCHEINDLIN  
Contact Type: OWNER

**2: Fictitious Businesses**

**Business Information**

Name: [REDACTED]  
Office Address: [REDACTED]  
Mailing Address: [REDACTED]  
Jurisdiction: [REDACTED]

For internal use only

SDNY\_GM\_00060383

**CONFIDENTIAL**

Phone: None Listed  
Filing Date: 03/20/1996  
Business Description: BUSINESS SERVICES NEC  
SIC: 738999

Contact Information

Name: RICHARD KAHN  
Address: [REDACTED]

Contact Type: CONTACT

3: Fictitious Businesses

Business Information

Name: PAIDFORSURF.COM  
Office Address: [REDACTED]  
Mailing Address: [REDACTED]

Jurisdiction: NY  
Filing Number: 2052000  
Filing Date: 02/04/2000

Contact Information

Name: RICHARD K KAHN  
Address: [REDACTED]

Contact Type: OWNER

Notice Of Defaults - 0 records found  
Potential Relatives - 8 records found


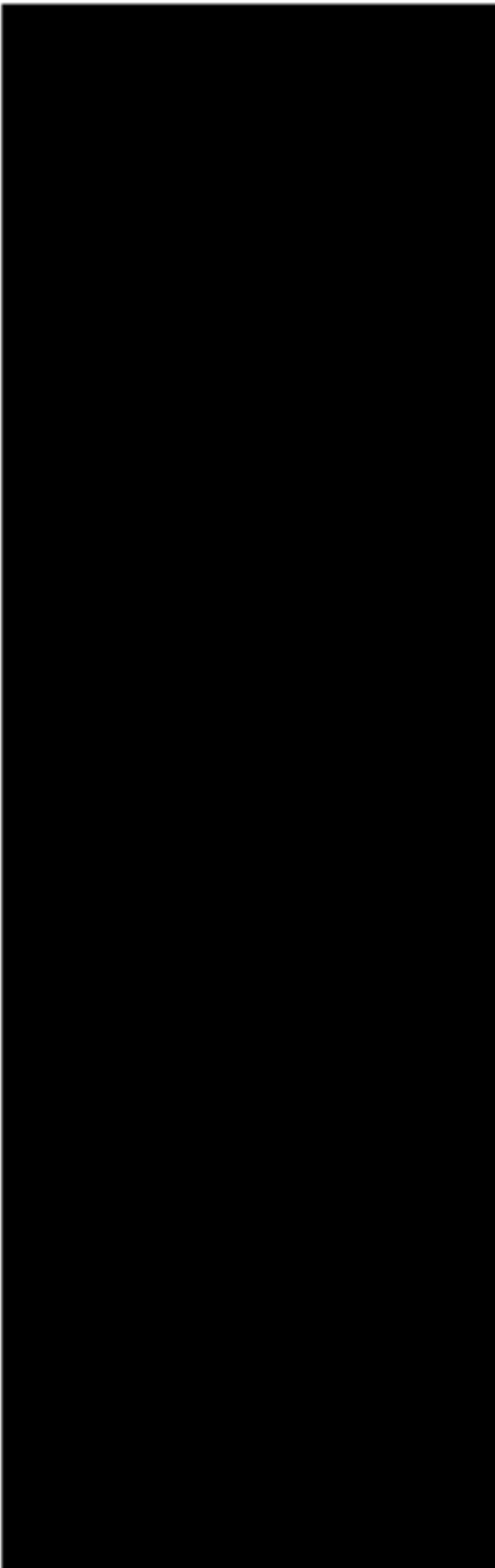

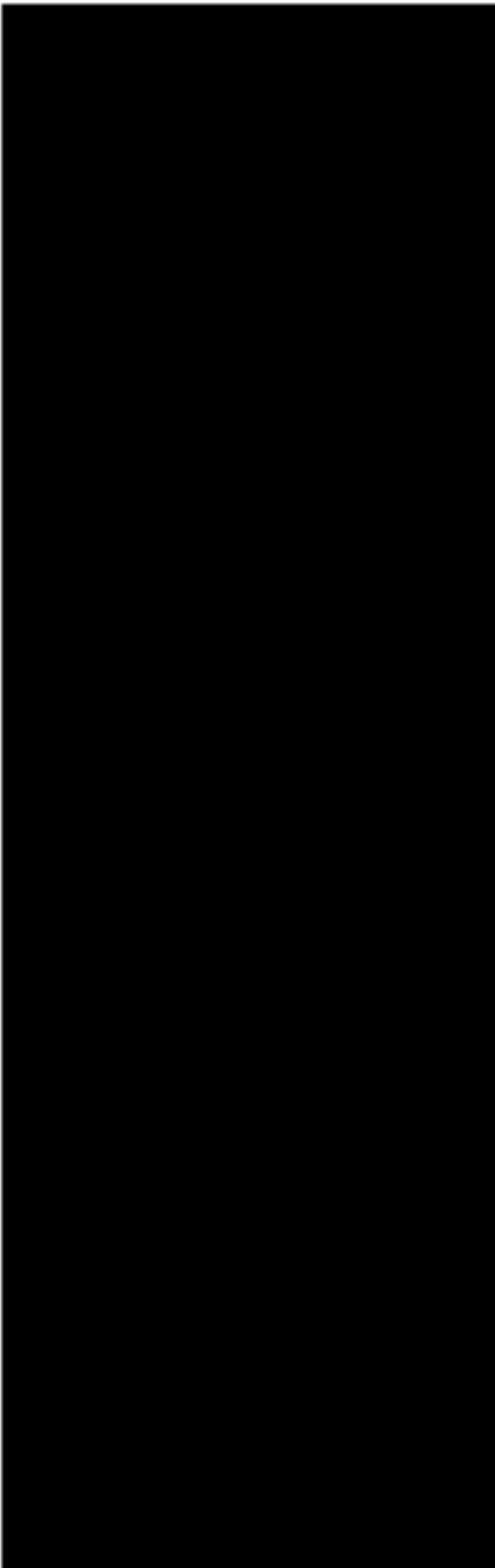

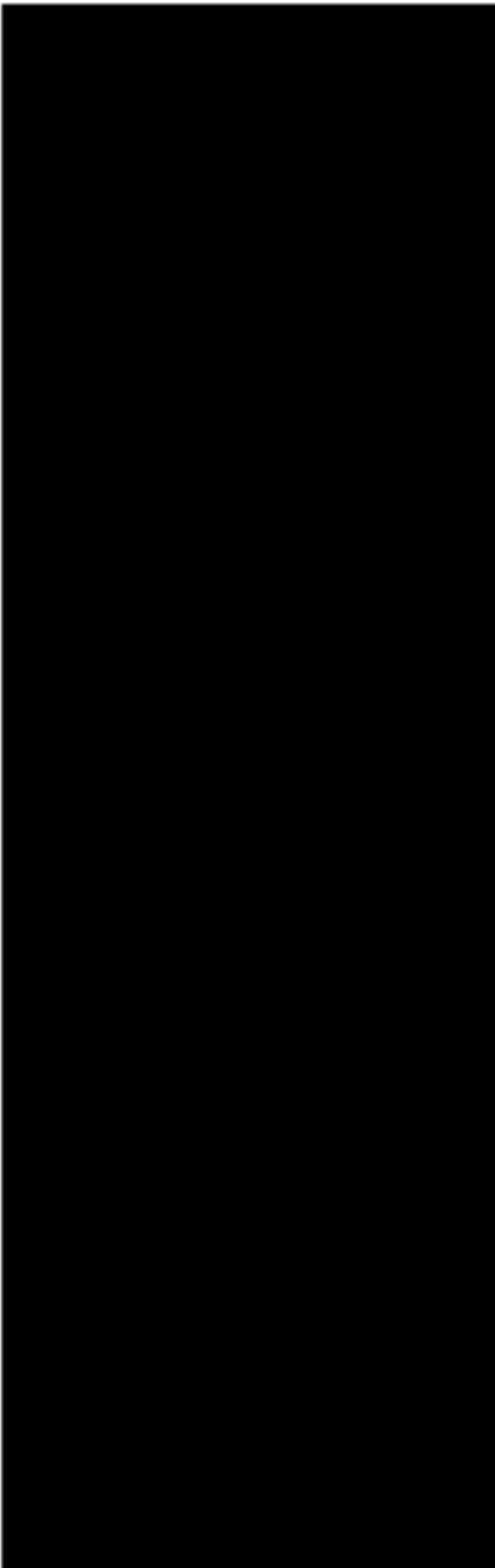
1st Degree: 4, 2nd Degree: 4

No.	Full Name	Address/Phone
1.	KAHN, BETH ANN  • AKA HOLLAND, BETH A • AKA KAHN, ANN • AKA KAHN, B • AKA KAHN, BETHA A  [REDACTED]	[REDACTED]
1.A.	HOLLAND, FRANCIS ANTHONY  • AKA HOLLAND, FRANK  [REDACTED]	[REDACTED]

For internal use only

SDNY\_GM\_00060384

**CONFIDENTIAL**

No.	Full Name	Address/Phone
1.B.	HOLLAND, FRANCIS JR  ▲ Deceased • AKA HOLLAND, FRANK JR • AKA HOLLAND, FRANK • AKA HOLLAND, FRANCIS J JR • AKA HOLLAND, FRANCIS JR • AKA HOLLAND, W  	
1.C.	HOLLAND, MARY ANN A  • AKA HOLLAND, MARYANN A • AKA HOLLAND, MARY A • AKA HOLLAND, MARY A • AKA HOLLAND, MARY ANN • AKA HOLLAN, MARY ANN • AKA HOLLAND, MARY ANN • AKA HOLLAND, MARY-ANN • AKA HOLLAND, MARYAN • AKA HOLLAND, MARIE • AKA HOLLAND, MARY-ANN  	
1.D.	HOLLAND, ASHA S  	





For internal use only

SDNY\_GM\_00060385

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e) **CONFIDENTIAL**

DB-SDNY-0023209  
EFTA\_00170923

EFTA01297351

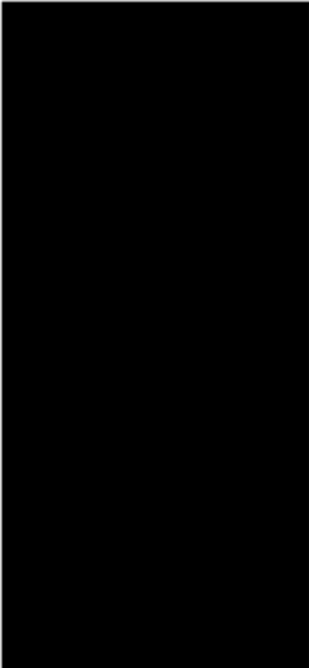


No.	Full Name	Address/Phone
2.	KAHN, BRITTANY N 	
3.	KAHN, VINCENT RICHARD 	
4.	KAHN, TURNER FRANCIS 	

**Business Associates - 1 records found**

1: EZANG.COM LLC

Name: KAHN, RICHARD K  
 Status: PERMANENTLY REVOKED  
 State: NV  
 Corporation Number: LLC7518-1999  
 Descriptive Status: PERMANENTLY REVOKED  
 Title: MANAGING MEMBER  
 Record Type: CURRENT  
 Record Date: 6/21/2017  
 Filing Date: 7/1/2006

**Person Associates - 5 records found**

No.	Full Name	Address	SSN	Phone	DOB
1:	HOLLAND, FRANCIS JR HOLLAND, FRANK JR HOLLAND, FRANK HOLLAND, FRANCIS J JR HOLLAND, W				
2:	HOLLAND, MARY ANN A HOLLAND, MARYANN A HOLLAND, MARY A HOLLAND, MARY ANN HOLLAN, MARY ANN HOLLAND, MARY-ANN HOLLAND, MARYAN HOLLAND, MARIE				

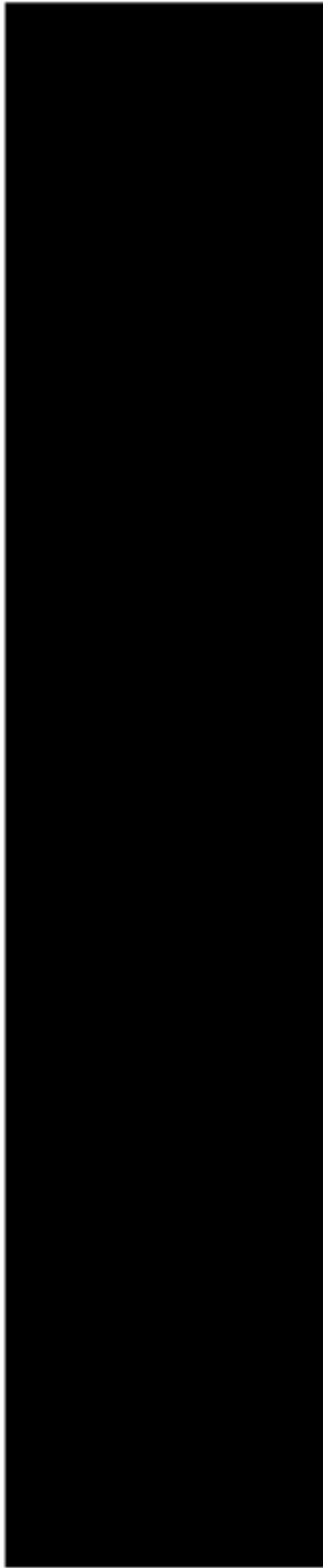
For internal use only

SDNY\_GM\_00060386

**CONFIDENTIAL**

No. Full Name Address SSN Phone DOB

3: HOLLAND, FRANCIS ANTHONY  
HOLLAND, FRANK



4: HOLLAND, THOMAS A  
HOLLAND, THOMAS J  
HOLLAND, TOM



5: ZITOFISKY, DANIEL M  
ZITOFISKY, DANIEL  
MATTHEW  
ZITOFISKY, DAN  
ZITOSKY, DANIEL  
ZITOFISKY, DANNY  
ZITOFISKY, ROBERT M  
ZITFSKY, DANIEL M



For internal use only

SDNY\_GM\_00060387

No. Full Name Address SSN Phone DOB

Neighbors - 9 records found

222 CARTER DR STE 201 MIDDLETOWN, DE 19709-5857

Name	Address	Phone
LORD, AISHA LEIGH	[REDACTED]	[REDACTED]
COVELL, BILL J	[REDACTED]	[REDACTED]
CATALFAMO, AMANDA CATALFAMO, DOMINIC	[REDACTED]	[REDACTED]
KEHAGIAS-ATHANASSOPU, IOANNIS	[REDACTED]	[REDACTED]
CUMISKEY, ANDREW M	[REDACTED]	[REDACTED]
OLIPHANT, ANNE G	[REDACTED]	[REDACTED]
PERRY, RACHEL L	[REDACTED]	[REDACTED]
CAMP, SHARON A	[REDACTED]	[REDACTED]
CASE, MARK EDWARD SCRENCI, GIUSEPPE A	[REDACTED]	[REDACTED]

Employment Locator - 26 records found

1:

Company Name: EZANGA.COM , INC.  
Name: KAHN, RICHARD K

Title: CHIEF EXECUTIVE OFFICER

Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]

Confidence: High

2:

Company Name: EZANG.COM LLC  
Name: KAHN, RICHARD K

Title: MANAGING MEMBER

SSN: [REDACTED]

Confidence: Medium

3:

Company Name: EZANGA.COM, INC.  
Name: KAHN, RICHARD K

Title: FOUNDER & CEO

For internal use only

SDNY\_GM\_00060388

CONFIDENTIAL

4: Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

Company Name: EZANGA.COM, INC.  
Name: KAHN, RICHARD K  
Title: CO-FOUNDER & CEO  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

5: Company Name: EZANGA.COM, INC.  
Name: KAHN, RICHARD K  
Title: CEO  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

6: Company Name: KAHNPOUND HOLDINGS LLC  
Name: KAHN, RICHARD K  
Title: AGENT  
Address: [REDACTED]  
SSN: [REDACTED]  
Confidence: High

7: Company Name: EZANGA.COM , INC.  
Name: KAHN, R  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

8: Company Name: EZANGA.COM , INC.  
Name: KAHN, RICHARD K  
Title: CHIEF EXECUTIVE OFFICER  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

9: Company Name: EZANGA.COM, INC.  
Name: KAHN, RICHARD K  
Title: CEO  
SSN: [REDACTED]

For internal use only

SDNY\_GM\_00060389

10: Phone: [REDACTED]  
 Confidence: High  
 Company Name: EZANGA  
 Name: KAHN, RICHARD K  
 Title: CHIEF EXECUTIVE OFFICER  
 Address: [REDACTED]  
 SSN: [REDACTED]  
 Phone: [REDACTED]  
 Confidence: Medium

11: Company Name: EZANGA  
 Name: KAHN, RICHARD K  
 Title: CHIEF EXECUTIVE OFFICER AND CO-OWNE  
 Address: [REDACTED]  
 SSN: [REDACTED]  
 Phone: [REDACTED]  
 Confidence: Medium

12: Company Name: SKY'S THE LIMIT  
 Name: KAHN, RICHARD  
 Title: DOMAIN TECHNICAL CONTACT  
 Address: [REDACTED]  
 SSN: [REDACTED]  
 Phone: [REDACTED]  
 Confidence: Medium

13: Company Name: THE LITTLE PILLOW, INC.  
 Name: KAHN, RICHARD  
 Title: DOMAIN TECHNICAL CONTACT  
 Address: [REDACTED]  
 SSN: [REDACTED]  
 Phone: [REDACTED]  
 Confidence: High

14: Company Name: WIZARD DESIGNS  
 Name: KAHN, RICHARD  
 Title: DOMAIN TECHNICAL CONTACT  
 Address: [REDACTED]  
 SSN: [REDACTED]  
 Phone: (616) 455-5516  
 Confidence: Medium

15: Company Name: FIRST STREET  
 Name: KAHN, RICHARD  
 Address: [REDACTED]  
 SSN: [REDACTED]

For internal use only

SDNY\_GM\_00060390

CONFIDENTIAL

16:                   Confidence: Medium  
Company Name: NEW GLOBAL MARKETING, INC.  
                  Name: KAHN, RICHARD  
                  Title: [REDACTED]  
                  Address: [REDACTED]  
                  SSN: [REDACTED]  
                  Phone: [REDACTED]  
                  Confidence: Medium

17:                   Company Name: CHILDRENS EMPORIUM  
                  Name: KAHN, RICHARD  
                  Title: DOMAIN TECHNICAL CONTACT  
                  Address: [REDACTED]  
                  SSN: [REDACTED]  
                  Phone: [REDACTED]  
                  Confidence: Medium

18:                   Company Name: COMMUNITY COMMUNICATIONS  
                  Name: KAHN, RICHARD  
                  Title: DOMAIN TECHNICAL CONTACT  
                  Address: [REDACTED]  
                  SSN: [REDACTED]  
                  Phone: [REDACTED]  
                  Confidence: Medium

19:                   Company Name: HUDSON VALLEY MULTIMEDIA  
                  Name: KAHN, RICHARD  
                  Title: DOMAIN TECHNICAL CONTACT  
                  Address: [REDACTED]  
                  SSN: [REDACTED]  
                  Phone: [REDACTED]  
                  Confidence: Medium

20:                   Company Name: PAIDFORSURF COM  
                  Name: KAHN, RICHARD K  
                  Address: [REDACTED]  
                  SSN: [REDACTED]  
                  Confidence: High

21:                   Company Name: PAIDFORSURF COM  
                  Name: KAHN, RICHARD K  
                  Address: [REDACTED]  
                  SSN: [REDACTED]  
                  Confidence: High

22:                   Company Name: PAIDFORSURF COM

For internal use only

SDNY\_GM\_00060391

**CONFIDENTIAL**

23: Name: KAHN, RICHARD K  
Address: [REDACTED]  
SSN: [REDACTED]  
Confidence: High

24: Company Name: NYNEX MOBILE COM  
Name: KAHN, RICHARD KEITH  
SSN: [REDACTED]  
Confidence: Medium

25: Company Name: EZANGA  
Name: KAHN, RICHARD K  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

26: Company Name: EZANGA  
Name: KAHN, RICHARD K  
Title: CHIEF EXECUTIVE OFFICER AND CO-OWNE  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: High

Company Name: EZANGA  
Name: KAHN, RICHARD K  
Address: [REDACTED]  
SSN: [REDACTED]  
Phone: [REDACTED]  
Confidence: Medium

**Criminal Filings - 0 records found**  
**Cellular & Alternate Phones - 4 records found**

1: **Personal Information**  
Name: KAHN, RICHARD  
Address: [REDACTED]  
Phone Number: [REDACTED]  
Phone Type: [REDACTED]  
**Carrier Information**  
Carrier: XO DELAWARE, INC.  
Carrier City: MIDDLETOWN  
Carrier State: DE

2: **Personal Information**  
Name: KAHN, RICHARD  
Address: [REDACTED]

For internal use only

SDNY\_GM\_00060392

**CONFIDENTIAL**

Phone Number: [REDACTED]  
 Phone Type: Residential  
**Carrier Information**  
 Carrier: VERIZON DELAWARE INC  
 Carrier City: MIDDLETOWN  
 Carrier State: DE

3:

**Personal Information**  
 Name: KAHN, RICH  
 Address: [REDACTED]  
 Phone Number: [REDACTED]  
 Phone Type: Mobile  
**Carrier Information**  
 Carrier: VERIZON WIRELESS-DE  
 Carrier City: WILMINGTON  
 Carrier State: DE

4:

**Personal Information**  
 Name: KAHN, RICHARD  
 Address: [REDACTED]  
 Phone Number: [REDACTED]  
 Phone Type: Mobile  
**Carrier Information**  
 Carrier: VERIZON WIRELESS-DE  
 Carrier City: WILMINGTON  
 Carrier State: DE

**Sources - 129 records found**

All Sources	129 Source Document(s)
Corporate Affiliations	1 Source Document(s)
Deed Transfers	11 Source Document(s)
Driver Licenses	1 Source Document(s)
Email addresses	13 Source Document(s)
FAA Aircraft Registrations	1 Source Document(s)
FAA Pilot Certifications	2 Source Document(s)
FAA Pilot Licenses	5 Source Document(s)
Fictitious Business Names Records	3 Source Document(s)
Historical Person Locator	22 Source Document(s)
Liens and Judgments	2 Source Document(s)
Motor Vehicle Registrations	10 Source Document(s)
Person Locator 1	5 Source Document(s)
Person Locator 2	8 Source Document(s)
Phone	7 Source Document(s)
PhonesPlus Records	4 Source Document(s)
Professional Licenses	4 Source Document(s)
Tax Assessor Records	20 Source Document(s)
Voter Registrations	10 Source Document(s)

**Key**

- ▲ High Risk Indicator. These symbols may prompt you to investigate further.
- ▣ Moderate Risk Indicator. These symbols may prompt you to investigate further.
- ▣ General Information Indicator. These symbols inform you that additional information is provided.
- ✓ The most recent telephone listing as reported by the EDA source.

For internal use only

SDNY\_GM\_00060393

**CONFIDENTIAL**

**Important:** The Public Records and commercially available data sources used on reports have errors. Data is sometimes entered poorly, processed incorrectly and is generally not free from defect. This system should not be relied upon as definitively accurate. Before relying on any data this system supplies, it should be independently verified. For Secretary of State documents, the following data is for information purposes only and is not an official record. Certified copies may be obtained from that individual state's Department of State.

Your DPPA Permissible Use is: Debt Recovery/Fraud  
Your GLBA Permissible Use is: Legal Compliance

Copyright© 2017 LexisNexis, a division of Reed Elsevier Inc. All rights reserved.

**D&B:**

Not required

**LEGAL RESULTS:**

**Court Cases:**

**\*\*\* THIS DATA IS FOR INFORMATION PURPOSES ONLY \*\*\***

**PARTY:** Atlee, Virginia

- Beccone, Amy
- Busch, Judith
- Carapico, Elizabeth Atlee
- Coraza, Cecilia
- Coraza, James English
- Coraza, Mary
- English, Elaine
- Friend, Arland
- Friend, Judith
- Johnston, Constance Atlee
- Johnston, William
- Kahn, Keke**
- Kahn, Richard**
- Miller, David
- Miller, Joann Delpizzo
- Montalbano, Anthony
- PennMont Securities LLP
- Reiff, George
- Snyder, George

**\*\*\*\*\* INCIDENT INFORMATION \*\*\*\*\***

For internal use only

SDNY\_GM\_00060394

**CONFIDENTIAL**

SANCTN

**CASE NUMBER:** 12-ARCA-3**JURISDICTION:** NYSE Arca, Inc.**SOURCE:** NYSE Arca, Inc. Administrative Document(s)**DATE:** 4/20/2012

Atlee, Virginia  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Beccone, Amy  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Busch, Judith  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

For internal use only

SDNY\_GM\_00060395

**CONFIDENTIAL**

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0023219

EFTA\_00170933

EFTA01297361

## SANCTN

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Carapico, Elizabeth Atlee  
 Limited Partner  
 FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Coraza, Cecilia  
 Limited Partner  
 FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Coraza, Mary  
 Limited Partner  
 FIRM: PennMont Securities LLP

For internal use only

SDNY\_GM\_00060396

**CONFIDENTIAL**

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0023220

EFTA\_00170934

EFTA01297362

## SANCTN

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Miller, Joann Delpizzo  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

English, Elaine  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Coraza, James English  
Limited Partner

For internal use only

SDNY\_GM\_00060397

**CONFIDENTIAL**

## SANCTN

FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Friend, Arland  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Friend, Judith  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

For internal use only

SDNY\_GM\_00060398

**CONFIDENTIAL**

## SANCTN

Johnston, Constance Atlee  
 Limited Partner  
 FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Johnston, William  
 Limited Partner  
 FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

\*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Kahn, Keke  
 Limited Partner  
 FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

For internal use only

SDNY\_GM\_00060399

**CONFIDENTIAL**

## SANCTN

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

**Kahn, Richard**  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

**Miller, David**  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

**Montalbano, Anthony**  
Limited Partner  
FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

For internal use only

SDNY\_GM\_00060400

SANCTN

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Reiff, George  
 Limited Partner  
 FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

Snyder, George  
 Limited Partner  
 FIRM: PennMont Securities LLP

Action: Permanent Debarment

Disposition: Per a Hearing Board Decision issued by NYSE Arca dated 04/20/12, the BCC determined that the following sanctions are reasonable and appropriate in light of the findings: each of the remaining 19 Respondents will be permanently barred from NYSE Arca membership unless they provide OTR testimony no later than 120 calendar days from the date of issuance of the Decision, such testimony may be conducted telephonically and must be scheduled and provided in accordance with certain guidelines.

## \*\*\*\*\* ADDITIONAL PARTY INFORMATION \*\*\*\*\*

PennMont Securities LLP  
 Equity Trading Permit/Market Making Holder  
 FIRM: PennMont Securities LLP

Other Party Info: Additional Vocation: Options Trading Permit Holder

PennMont Securities LLP was listed in the source document(s), but no sanction information was provided.

**HARDCOPY ORDER NUMBER:** ARCA1208-80000027

For internal use only

SDNY\_GM\_00060401

**CONFIDENTIAL**

\*\*\* THIS DATA IS FOR INFORMATIONAL PURPOSES ONLY \*\*\* Copyright © 2017  
CourtLink Corporation

UNITED STATES DISTRICT COURT  
MIDDLE DISTRICT OF FLORIDA  
(Tampa)

United States of America v. Ippolito et al

**DEFENDANT:** Emilio L. Ippolito (Terminated 6/9/1998)

Appeals court case numbers: 96-2696, 98-2797

Susan Mokdad (Terminated 6/23/1998)

Appeals court case number: 98-2797

John J. Gentz (Terminated 6/24/1998)

Larry M. Myers (Terminated 5/18/2012)

Appeals court case number: 12-12716-C 11th Circuit

Phillip Marsh (Terminated 12/13/2002)

Douglas J. Carpa (Terminated 6/9/1998)

Appeals court case numbers: 03-14251-F, 04-11503-F, 98-2140,  
98-2797, 988-2797, transcriptalreaddyonfile

Richard Allen Brown (Terminated 4/6/1998)

Appeals court case number: 96-3333

Charles P. Dunnigan (Terminated 6/10/1998)

Appeals court case numbers: 03-14251-F, 96-3332, 98, 98-2797

Jack W. Warren (Terminated 6/19/1998)

Appeals court case numbers: 03-14251-F, 03-15199-F,  
12-15709-C 11th Circuit, 12-16093-C 1, 12-16575-C 11th  
Circuit, 98-2619, 98-2797, waitingonCJAapproval

Jack M. Franz (Terminated 1/15/1999)

Laurent J. Moore (Terminated 6/19/1998)

Appeals court case number: 98-2797

**ADDITIONAL PARTY:** Cynthia Kirkby, [SURETY ]

Surety for John J. Gentz.

Sandra Sayre, [SURETY ]

Surety and Third Party Custodian for Jack Martin Franz.

Donald Sayre, [SURETY ]

Surety for Jack Martin Franz

Richard Kahn, [INTERESTED PARTY ]

(Trial Witness)

Barbara Jean Warren, [INTERESTED PARTY ]

For internal use only

SDNY\_GM\_00060402

**CONFIDENTIAL**

United States of America v. Ippolito et al 8:96cr64

Wilma L. Ippolito, [INTERESTED PARTY ]  
Matthew Finch, [INTERESTED PARTY ]  
AKA: Toby Brown; Marty Franz

**DOCKET NUMBER:** 8:96cr64**FILING DATE:** 3/15/1996**JUDGE:** Assigned to Steven D. Merryday; Referred to Thomas B. McCoun III,  
Magistrate Judge**FILING TYPE:** Criminal**STATUS:** Case Closed**PLAINTIFF ATTORNEY(S):**

Ernest F. Peluso [LEAD ATTORNEY;ATTORNEY TO] (Terminated 8/22/2011)  
Hillsborough County Sheriff's Office  
2008 E 8th Ave PO Box 3371  
Tampa, FL 33605  
813-247-8928 Fax: 813-247-0941

Latour Rey Lafferty [ATTORNEY TO BE NOTICED] (Terminated 9/8/1998)  
Holland & Knight, LLP - Tampa  
100 N Tampa St - Ste 4100 PO Box 1288 Tampa, FL 33601-1288  
813/227-6361 Fax: 813/229-0134

Robert Monk [LEAD ATTORNEY;ATTORNEY TO] (Terminated 2/4/2014)  
U.S. Attorney's Office  
Middle District of Florida 400 N. Tampa St., Suite 3200  
Tampa, FL 33602  
813/274-6000 Fax: 813/274-6103

Stacie B. Harris [LEAD ATTORNEY;ATTORNEY TO]  
US Attorney's Office - FLM  
Suite 3200 400 N Tampa St  
Tampa, FL 33602-4798  
813/274-6000 Fax: 813/274-6178

**ADDITIONAL PARTY ATTORNEY(S):**

FOR MATTHEW FINCH  
John Edwin Swisher [LEAD ATTORNEY;ATTORNEY TO] (Terminated 5/22/1996)  
Public Defender's Office - 6th Circuit 14250 - 49th St N  
Clearwater, FL 33762  
727/823-6344 Fax: 727/327-9330 Designation: CJA Appointment

For internal use only

SDNY\_GM\_00060403

Barbara Jean Warren [PRO SE]  
#  
1502 E. Trapnell Rd.  
Plant City, FL 33566-4932

Richard Allen Brown [PRO SE]  
#  
17152 N. Phlox Dr. SE  
Ft. Myers, FL 33812

Wilma L. Ippolito [PRO SE]  
#  
2318 W. Ivy St.  
Tampa, FL 33607-1624  
813/935-5059

Cynthia Kirkby [PRO SE]  
#  
908 S. Rome Ave., #3  
Tampa, FL 33606

Adrian Richard Castro [LEAD ATTORNEY;ATTORNEY TO] (Terminated  
7/17/2007)  
Adrian Richard Castro, PA  
Suite 210 505 E Jackson St  
Tampa, FL 33602  
813/229-9195 Fax: 813-229-9136 Designation: CJA Appointment

Anne F. Borghetti [LEAD ATTORNEY;ATTORNEY TO]  
Anne F. Borghetti, PA  
12211 49th St N Ste 1  
Clearwater, FL 33762-4300  
727/502-0300 Fax: 727/502-0303 Designation: CJA Appointment

Bjorn Erik Brunvand [LEAD ATTORNEY;ATTORNEY TO] (Terminated 4/6/1998)  
Bjorn E. Brunvand, PA  
615 Turner St  
Clearwater, FL 33756  
727/446-7505 Fax: 727/446-8147 Designation: CJA Appointment

Brent D. Armstrong [LEAD ATTORNEY;ATTORNEY TO] (Terminated  
12/13/2002)  
Brent D. Armstrong, PA  
1003 Beverly Ave.  
Largo, FL 33770

For internal use only

SDNY\_GM\_00060404

## United States of America v. Ippolito et al 8:96cr64

727-742-5371 Designation: CJA Appointment

Brian L. Weakland, Attorney at Law [LEAD ATTORNEY;ATTORNEY TO]  
(Terminated 6/24/1998)

Brian L. Weakland,  
Suite 201 3420 Pump Rd  
Henrico, VA 23233-1111  
813/935-1180 Fax: 813/935-1181 Designation: CJA Appointment

Jeffrey Geldert Brown [LEAD ATTORNEY;ATTORNEY TO] (Terminated  
9/5/1996)

Brown & Doherty, PA  
Suite 120 450 Carillon Pkwy  
St Petersburg, FL 33716  
727-299-0099 Fax: 727-299-0044 Designation: CJA Appointment

Timothy James Fitzgerald [LEAD ATTORNEY;ATTORNEY TO] (Terminated  
7/18/1996)

Farmer & Fitzgerald, PA  
Suite 501 102 W Whiting St  
Tampa, FL 33602  
813/228-0095 Fax: 813-224-0269 Designation: CJA Appointment

Donald E. Horrox [LEAD ATTORNEY;ATTORNEY TO] (Terminated 3/7/1997)

Federal Public Defender's Office  
Middle District of Florida 400 N. Tampa St., Suite 2700  
Tampa, FL 33602  
813/228-2715 Designation: CJA Appointment

Frederick Wiley Vollrath, Attorney at Law [LEAD ATTORNEY;ATTORNEY TO]

Frederick W. Vollrath,  
Suite 2 307 S Fielding Ave  
Tampa, FL 33606  
813/335-4379 Fax: 813/286-8161 Designation: CJA Appointment

Ronald Frank Smith [LEAD ATTORNEY;ATTORNEY TO] (Terminated 6/23/1998)

Law Firm of Ron Smith, PA  
8293 - 86th Ave N  
Largo, FL 33777-7602  
727/919-4832 Designation: CJA Appointment

Daniel F. Daly [LEAD ATTORNEY;ATTORNEY TO]

Law Office of Daniel F. Daly  
Suite 204 20 W University Ave  
Gainesville, FL 32601  
352/505-0445 Designation: CJA Appointment

For internal use only

SDNY\_GM\_00060405

United States of America v. Ippolito et al 8:96cr64

Daniel Mario Hernandez [LEAD ATTORNEY;ATTORNEY TO]  
Law Office of Daniel M. Hernandez  
902 N Armenia Ave  
Tampa, FL 33609  
813/875-9694 Fax: 813-876-4155 Designation: CJA Appointment

David T. Weisbrod [LEAD ATTORNEY;ATTORNEY TO] (Terminated 8/19/1996)  
Law Office of David T. Weisbrod  
Suite 1111 412 E Madison St  
Tampa, FL 33602  
813/223-2792 Fax: 813/223-3124 Designation: CJA Appointment

Franklyn Louderback [LEAD ATTORNEY;ATTORNEY TO]  
Law Office of Franklyn Louderback  
Suite 120 450 Carillon Parkway  
St Petersburg, FL 33716  
727/896-2147 Fax: 727/556-0447 Designation: CJA Appointment

Paul Grant [LEAD ATTORNEY;ATTORNEY TO] (Terminated 6/11/2002)  
Law Office of Paul Grant  
19039 Plaza Dr., Suite 260 Parker, CO 80134  
303/841-9649 Designation: Retained

Rosanne Loretta Brady [LEAD ATTORNEY;ATTORNEY TO] (Terminated  
1/15/1999)  
Law Office of Roseanne L. Brady  
PO Box 173203  
Tampa, FL 33672  
813/832-3921 Fax: 813/839-5028 Designation: CJA Appointment

Stephen M Crawford [LEAD ATTORNEY;ATTORNEY TO] (Terminated 2/9/2004)  
Law Office of Stephen M. Crawford  
600 S Magnolia Ave Ste 275  
Tampa, FL 33606-2702  
813-251-2273 Fax: 813-254-1922 Designation: CJA Appointment

Thomas H. Ostrander [LEAD ATTORNEY;ATTORNEY TO]  
Law Office of Thomas Harold Ostrander  
514 27th St W  
Bradenton, FL 34205  
941/526-9551 Fax: 941/746-8200 Designation: CJA Appointment

Thomas J. Hanlon [LEAD ATTORNEY;ATTORNEY TO] (Terminated 10/11/1996)  
Law Office of Thomas J. Hanlon  
210 N. Pierce St.

For internal use only

SDNY\_GM\_00060406

United States of America v. Ippolito et al 8:96cr64

Tampa, FL 33602  
813/228-7095 Designation: CJA Appointment

Tiffany Shantel Craig [LEAD ATTORNEY;ATTORNEY TO]  
Law Office of Tiffany S. Craig, PA  
2208 E 3rd Ave  
Tampa, FL 33605  
813/247-1460 Fax: 813/247-2859 Designation: CJA Appointment

Jack W. Warren [PRO SE]  
MARION  
#13477-077 U.S. PENITENTIARY Inmate Mail/Parcels P.O. BOX 1000  
MARION, IL 62959

Robert Henry Dillinger [LEAD ATTORNEY;ATTORNEY TO] (Terminated  
10/3/1996)  
Robert H. Dillinger, P.A.  
7842 Country Club Rd. N.  
St. Petersburg, FL 33702-3918  
Designation: CJA Appointment

**\*\*\* COUNT INFORMATION \*\*\***

**MATTHEW FINCH:**

Pending: 18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1);  
Imprisonment - 60 months as to Counts 1 and 18, 72 months as  
to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120  
months as to Counts 12,13,14,15 and 16, each to run  
concurrent to the others for a total of 135 months with  
credit for time served ; Supervised Release - 36 months as  
to all counts, to run concurrent to each other; Fine and  
Supervision costs - waived; Special Assessment - \$ 650.00 as  
to all counts. AMENDED JUDGMENT: Special Assessment -  
\$ 700.00 as to all counts. All other provisions of the  
original judgment are to remain in full force and effect. Offense Description/Level:

Opening/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2);  
Imprisonment - 60 months as to Counts 1 and 18, 72 months as  
to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120  
months as to Counts 12,13,14,15 and 16, each to run  
concurrent to the others for a total of 135 months with  
credit for time served ; Supervised Release - 36 months as  
to all counts, to run concurrent to each other; Fine and  
Supervision costs - waived; Special Assessment - \$ 650.00 as

For internal use only

SDNY\_GM\_00060407

to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are to remain in full force and effect. Offense Description/Level: Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(4); Imprisonment - 60 months as to Counts 1 and 18, 72 months as to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120 months as to Counts 12,13,14,15 and 16, each to run concurrent to the others for a total of 135 months with credit for time served ; Supervised Release - 36 months as to all counts, to run concurrent to each other; Fine and Supervision costs - waived; Special Assessment - \$ 650.00 as to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are to remain in full force and effect. Offense Description/Level: Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(7-10); Imprisonment - 60 months as to Counts 1 and 18, 72 months as to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120 months as to Counts 12,13,14,15 and 16, each to run concurrent to the others for a total of 135 months with credit for time served ; Supervised Release - 36 months as to all counts, to run concurrent to each other; Fine and Supervision costs - waived; Special Assessment - \$ 650.00 as to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are to remain in full force and effect. Offense Description/Level: Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(11); Imprisonment - 60 months as to Counts 1 and 18, 72 months as to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120 months as to Counts 12,13,14,15 and 16, each to run concurrent to the others for a total of 135 months with credit for time served ; Supervised Release - 36 months as to all counts, to run concurrent to each other; Fine and Supervision costs - waived; Special Assessment - \$ 650.00 as to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are to remain in full force and effect. Offense Description/Level: Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(12-13); Imprisonment - 60 months as to Counts 1 and 18, 72 months as to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120

For internal use only

SDNY\_GM\_00060408

**CONFIDENTIAL**

## United States of America v. Ippolito et al 8:96cr64

months as to Counts 12,13,14,15 and 16, each to run concurrent to the others for a total of 135 months with credit for time served ; Supervised Release - 36 months as to all counts, to run concurrent to each other; Fine and Supervision costs - waived; Special Assessment - \$ 650.00 as to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are to remain in full force and effect. Offense Description/Level:

Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(14); Imprisonment - 60 months as to Counts 1 and 18, 72 months as to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120 months as to Counts 12,13,14,15 and 16, each to run concurrent to the others for a total of 135 months with credit for time served ; Supervised Release - 36 months as to all counts, to run concurrent to each other; Fine and Supervision costs - waived; Special Assessment - \$ 650.00 as to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are to remain in full force and effect. Offense Description/Level:

Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(15-16); Imprisonment - 60 months as to Counts 1 and 18, 72 months as to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120 months as to Counts 12,13,14,15 and 16, each to run concurrent to the others for a total of 135 months with credit for time served ; Supervised Release - 36 months as to all counts, to run concurrent to each other; Fine and Supervision costs - waived; Special Assessment - \$ 650.00 as to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are to remain in full force and effect. Offense Description/Level:

Opening/Felony

18:922K.F SELL DEFACED FIREARMS(18); Imprisonment - 60 months as to Counts 1 and 18, 72 months as to Count 2, 135 months as to Counts 4,7,8,9,10 and 11, 120 months as to Counts 12,13,14,15 and 16, each to run concurrent to the others for a total of 135 months with credit for time served ; Supervised Release - 36 months as to all counts, to run concurrent to each other; Fine and Supervision costs - waived; Special Assessment - \$ 650.00 as to all counts. AMENDED JUDGMENT: Special Assessment - \$ 700.00 as to all counts. All other provisions of the original judgment are

For internal use only

SDNY\_GM\_00060409

**CONFIDENTIAL**

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0023233

EFTA\_00170947

EFTA01297375

to remain in full force and effect. Offense Description/Level: Opening/Felony

18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1);  
Imprisonment - 60 months as to Count 1, 72 months as to  
Count 2, 121 months as to Counts 4,7,8,9,10 and 11 and 120  
months as to Counts 12, 13 and 14, all to run concurrent  
with each other, for a total of 121 months with credit for  
time served; Supervised Release - 36 months as to Counts  
1,2,4, 7-10 and 11-14, all to run concurrent with each  
other; Fine - waived; Special Assessment - \$ 550.00 as to  
all counts. Offense Description/Level: Opening/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2);  
Imprisonment - 60 months as to Count 1, 72 months as to  
Count 2, 121 months as to Counts 4,7,8,9,10 and 11 and 120  
months as to Counts 12, 13 and 14, all to run concurrent  
with each other, for a total of 121 months with credit for  
time served; Supervised Release - 36 months as to Counts  
1,2,4, 7-10 and 11-14, all to run concurrent with each  
other; Fine - waived; Special Assessment - \$ 550.00 as to  
all counts. Offense Description/Level: Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(4); Imprisonment  
- 60 months as to Count 1, 72 months as to Count 2, 121  
months as to Counts 4,7,8,9,10 and 11 and 120 months as to  
Counts 12, 13 and 14, all to run concurrent with each other,  
for a total of 121 months with credit for time served;  
Supervised Release - 36 months as to Counts 1,2,4, 7-10 and  
11-14, all to run concurrent with each other; Fine - waived;  
Special Assessment - \$ 550.00 as to all counts. Offense Description/Level:  
Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(7-10);  
Imprisonment - 60 months as to Count 1, 72 months as to  
Count 2, 121 months as to Counts 4,7,8,9,10 and 11 and 120  
months as to Counts 12, 13 and 14, all to run concurrent  
with each other, for a total of 121 months with credit for  
time served; Supervised Release - 36 months as to Counts  
1,2,4, 7-10 and 11-14, all to run concurrent with each  
other; Fine - waived; Special Assessment - \$ 550.00 as to  
all counts. Offense Description/Level: Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(11);  
Imprisonment - 60 months as to Count 1, 72 months as to  
Count 2, 121 months as to Counts 4,7,8,9,10 and 11 and 120  
months as to Counts 12, 13 and 14, all to run concurrent

For internal use only

SDNY\_GM\_00060410

**CONFIDENTIAL**

United States of America v. Ippolito et al 8:96cr64

with each other, for a total of 121 months with credit for time served; Supervised Release - 36 months as to Counts 1,2,4, 7-10 and 11-14, all to run concurrent with each other; Fine - waived; Special Assessment - \$ 550.00 as to all counts. Offense Description/Level: Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(12-13);  
Imprisonment - 60 months as to Count 1, 72 months as to Count 2, 121 months as to Counts 4,7,8,9,10 and 11 and 120 months as to Counts 12, 13 and 14, all to run concurrent with each other, for a total of 121 months with credit for time served; Supervised Release - 36 months as to Counts 1,2,4, 7-10 and 11-14, all to run concurrent with each other; Fine - waived; Special Assessment - \$ 550.00 as to all counts. Offense Description/Level: Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(14);  
Imprisonment - 60 months as to Count 1, 72 months as to Count 2, 121 months as to Counts 4,7,8,9,10 and 11 and 120 months as to Counts 12, 13 and 14, all to run concurrent with each other, for a total of 121 months with credit for time served; Supervised Release - 36 months as to Counts 1,2,4, 7-10 and 11-14, all to run concurrent with each other; Fine - waived; Special Assessment - \$ 550.00 as to all counts. Offense Description/Level: Opening/Felony

18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1);  
Imprisonment - Time Served; Supervised Release - 36 months, including confinement in a Community Correction Facility for 6 months; Fine - waived; Special Assessment - \$ 50.00. Offense Description/Level: Opening/Felony

18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1);  
IMPRISONMENT-- 60 months; SUPERVISED RELEASE-- 24 months;  
SPECIAL ASSESSMENT-- \$ 50.00 Offense Description/Level: Opening/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2);  
IMPRISONMENT-- 72 months; SUPERVISED RELEASE-- 24 months;  
SPECIAL ASSESSMENT-- \$ 50.00 Offense Description/Level: Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(4);  
IMPRISONMENT-- 78 months; SUPERVISED RELEASE-- 24 months;  
SPECIAL ASSESSMENT-- \$ 50.00 Offense Description/Level: Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(12-13);  
IMPRISONMENT-- 78 months; SUPERVISED RELEASE-- 24 months;

For internal use only

SDNY\_GM\_00060411

**CONFIDENTIAL**

CONFIDENTIAL - PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0023235

EFTA\_00170949

EFTA01297377

SPECIAL ASSESSMENT-- \$ 100.00 Offense Description/Level: Opening/Felony

18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1); imprisonment for a term of 31 months to run concurrently with sentence imposed on counts 2, 12 and 13 and with sentence imposed in the U.S. District Court for the Northern District of California (case no. CR93-005921RW); supervised release for 3 years to run concurrent; fine is waived; special assessment of \$ 400.00 Offense Description/Level: Opening/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2); imprisonment for a term of 72 months to run concurrent with counts 1, 12 and 13; supervised release for 3 years to run concurrent; Offense Description/Level: Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(12-13); imprisonment for a term of 77 months to run concurrent with counts 1 and 2; supervised release for 3 years to run concurrent. Offense Description/Level: Opening/Felony

18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1); Imprisonment - 1 month as to Count 1 to run consecutively to other counts, 72 months as to Count 2 to run concurrently to Counts 12 and 13, 120 months as to Counts 12 and 13 to run concurrently to Count 2 for a total of 121 months to run concurrently with a credit of 15 months for time served; Supervised Release - 36 months as to Counts 1,2,12 and 13; Fine - waived; Special Assessment - \$ 200.00 as to all counts. Defendant is barred from serving as a trustee or other fiduciary, except in the instance of normal familial responsibilities to his nuclear family, heirs and descendants related by blood or marriage. AMENDED JUDGMENT: All terms and provisions of the original judgment remain in effect. Offense Description/Level: Opening/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2); Imprisonment - 1 month as to Count 1 to run consecutively to other counts, 72 months as to Count 2 to run concurrently to Counts 12 and 13, 120 months as to Counts 12 and 13 to run concurrently to Count 2 for a total of 121 months to run concurrently with a credit of 15 months for time served; Supervised Release - 36 months as to Counts 1,2,12 and 13; Fine - waived; Special Assessment - \$ 200.00 as to all counts. Defendant is barred from serving as a trustee or other fiduciary, except in the instance of normal familial responsibilities to his nuclear family, heirs and

For internal use only

SDNY\_GM\_00060412

United States of America v. Ippolito et al 8:96cr64

descendants related by blood or marriage. AMENDED JUDGMENT:  
All terms and provisions of the original judgment remain in effect. Offense Description/Level: Opening/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(12-13);  
Imprisonment - 1 month as to Count 1 to run consecutively to other counts, 72 months as to Count 2 to run concurrently to Counts 12 and 13, 120 months as to Counts 12 and 13 to run concurrently to Count 2 for a total of 121 months to run concurrently with a credit of 15 months for time served;  
Supervised Release - 36 months as to Counts 1,2,12 and 13;  
Fine - waived; Special Assessment - \$ 200.00 as to all counts. Defendant is barred from serving as a trustee or other fiduciary, except in the instance of normal familial responsibilities to his nuclear family, heirs and descendants related by blood or marriage. AMENDED JUDGMENT:  
All terms and provisions of the original judgment remain in effect. Offense Description/Level: Opening/Felony

18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1);  
Imprisonment - 60 months as to Count 1, 72 months as to Count 2 and 78 months as to Counts 7,8,9,10 and 14, all to run concurrent to each other for a total of 78 months with credit for time served; Supervised Release - 36 months as to all Counts, to run concurrent to each other; Fine and costs of imprisonment - waived; Special Assessment - \$ 350.00 as to all counts. Offense Description/Level: Opening/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2);  
Imprisonment - 60 months as to Count 1, 72 months as to Count 2 and 78 months as to Counts 7,8,9,10 and 14, all to run concurrent to each other for a total of 78 months with credit for time served; Supervised Release - 36 months as to all Counts, to run concurrent to each other; Fine and costs of imprisonment - waived; Special Assessment - \$ 350.00 as to all counts. Offense Description/Level: Opening/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(7-10);  
Imprisonment - 60 months as to Count 1, 72 months as to Count 2 and 78 months as to Counts 7,8,9,10 and 14, all to run concurrent to each other for a total of 78 months with credit for time served; Supervised Release - 36 months as to all Counts, to run concurrent to each other; Fine and costs of imprisonment - waived; Special Assessment - \$ 350.00 as to all counts. Offense Description/Level: Opening/Felony

For internal use only

SDNY\_GM\_00060413

## United States of America v. Ippolito et al 8:96cr64

Terminated: 18:876.F MAILING THREATENING COMMUNICATIONS(3)Offense  
Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(5)Offense  
Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(6)Offense  
Description/Level: Terminated/Felony

18:1505.F OBSTRUCTION OF PROCEEDING BEFORE  
DEPARTMENTS/AGENCIES(17)Offense Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(3)Offense  
Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(5)Offense  
Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(6)Offense  
Description/Level: Terminated/Felony

18:1505.F OBSTRUCTION OF PROCEEDING BEFORE  
DEPARTMENTS/AGENCIES(17)Offense Description/Level: Terminated/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2); Dismissed  
on Government's motion.Offense Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(3); Dismissed on  
Government's motion.Offense Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(4); Dismissed on  
Government's motion.Offense Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(5); Dismissed on  
Government's motion.Offense Description/Level: Terminated/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(12-13);  
Dismissed on Government's motion.Offense Description/Level:  
Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(5)Offense  
Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(5)Offense  
Description/Level: Terminated/Felony

For internal use only

SDNY\_GM\_00060414

**CONFIDENTIAL**

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0023238

EFTA\_00170952

EFTA01297380

United States of America v. Ippolito et al 8:96cr64

18:371 and 18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(1);  
Jury verdict of NOT GUILTY.Offense Description/Level: Terminated/Felony

18:372.F CONSPIRE TO IMPEDE OR INJURE OFFICER(2); Jury  
verdict of NOT GUILTY.Offense Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(6); Jury verdict  
of NOT GUILTY.Offense Description/Level: Terminated/Felony

18:876.F MAILING THREATENING COMMUNICATIONS(7-10); Jury  
verdict of NOT GUILTY.Offense Description/Level: Terminated/Felony

18:1503.F INFLUENCE/INJURING OFFICER/JUROR/WITNESS(14); Jury  
verdict of NOT GUILTY.Offense Description/Level: Terminated/Felony

**THE COURT UPDATED THIS RECORD ON: 05/26/2017 00:00:00AM**

For internal use only

SDNY\_GM\_00060415

**CONFIDENTIAL**

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0023239

EFTA\_00170953

EFTA01297381