

Unknown

From: Shana Madoff [SMadoff@madoff.com]
Sent: Tuesday, February 28, 2006 4:00 PM
To: Swanson, Eric J.
Subject: Re: St. Louis Topical Breakfast

I will do my best

Shana Madoff
Compliance Counsel
Bernard L. Madoff Investment Securities LLC
phone: (212) 230-2411
e-mail: smadoff@madoff.com

"Swanson, Eric J." <SwansonE@sec.gov>

02/28/2006 03:43 PM

To <SMadoff@madoff.com>
cc
Subject Re: St. Louis Topical Breakfast

Shana -

Can you get John on the equity institutional trading panel (WA-3)?

Thanks,

Eric

Sent from my BlackBerry Wireless Handheld

-----Original Message-----

From: Shana Madoff <SMadoff@madoff.com>
To: Swanson, Eric J. <SwansonE@sec.gov>
Sent: Tue Feb 28 15:00:26 2006
Subject: Fw: St. Louis Topical Breakfast

Hi Eric,

I hope this helps...(see email from Personal Privacy below). Let me know if you need anything else.

Best,

Shana

8/25/2009

Shana Madoff
Compliance Counsel
Bernard L. Madoff Investment Securities LLC
phone: (212) 230-2411
e-mail: smadoff@madoff.com

----- Forwarded by Shana Madoff/Madoff on 02/28/2006 02:24 PM -----

Personal Privacy

02/28/2006 01:59 PM

To

"Shana Madoff" <SMadoff@madoff.com>

cc

Subject

RE: St. Louis Topical Breakfast

I think the areas of interest will be:

What activities make you an investment adviser, and what activities can be performed as a broker-dealer; and when (and how) can you provide a financial plan, then continue to serve the customer as a broker-dealer.

-----Original Message-----

From: Shana Madoff [mailto:SMadoff@madoff.com]

Sent: Tuesday, February 28, 2006 11:35 AM

To: Personal Privacy

Subject: Fw: St. Louis Topical Breakfast

see question below...

Shana Madoff
Compliance Counsel
Bernard L. Madoff Investment Securities LLC
phone: (212) 230-2411
e-mail: smadoff@madoff.com

----- Forwarded by Shana Madoff/Madoff on 02/28/2006 12:35 PM -----

"Swanson, Eric J." Personal Privacy

02/28/2006 12:36 PM

To

"Shana Madoff" <SMadoff@madoff.com>

cc

Subject

RE: St. Louis Topical Breakfast

8/25/2009

MADOFF_EXHIBITS-05644

Shana – is the 202(a) question limited to defining who is required to be registered as an IA? Just want to make sure I understand the issue. Thanks.

From: Elizabeth Buchmueller [mailto:EBuchmueller@madoff.com] On Behalf Of Shana Madoff
Sent: Monday, February 27, 2006 1:34 PM
To: [REDACTED]; Swanson, Eric J.; McCarthy, John A.
Subject: St. Louis Topical Breakfast

Hi everyone! We are currently planning our next stop on the Topical Breakfast tour and I was hoping to confirm everyone's participation.

We have reserved March 9th in St. Louis, AG Edwards has graciously offered to host.

Attached is a draft of the invitation. Please note that this time around the participating firms have requested we focus on the Investment Adviser Rule 202(a) and Internal Controls (NYSE Rule 342, NASD Ruel 3012) in addition to our usual topics.

As always, I thank you for your support and dedication to these events.

Many thanks,

Shana

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8/25/2009

