

RE: St. Louis Topical Breakfast

3/3/2006 10:20:00 AM

From: Swanson, Eric J.
To: Shana Madoff [SMadoff@madoff.com]

Thanks Shana. I will see you at Speaks – at least for the reception.

From: Shana Madoff [mailto:SMadoff@madoff.com]
Sent: Friday, March 03, 2006 9:02 AM
To: Swanson, Eric J.
Subject: RE: St. Louis Topical Breakfast

The place looks great! 7:30 sounds fine.
I called the powers that be again this morning to try to explain how important it would be to have John on the panel...they still have not called me back, I am not taking it personally yet :)
Are you going to be at SEC Speaks today? I am taking a 2pm shuttle. Hope to see you!
Best,

Shana

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>

To "Shana Madoff" <SMadoff@madoff.com>

cc

03/02/2006 05:14 PM

Subject RE: St. Louis Topical Breakfast

OK – we are trying for the Hyatt. I think our flight gets in at 6:30, so we will shoot for a 7:30 dinner? I will make reservations. Here is a link to the restaurant –

<http://www.saucecafe.com/tonys/>

PS – John's harassing the hell out of me to make sure I get him on that panel so anything you can do is appreciated (or do you think I should call someone?).

From: Shana Madoff [mailto:SMadoff@madoff.com]
Sent: Thursday, March 02, 2006 5:06 PM
To: Swanson, Eric J.
Subject: RE: St. Louis Topical Breakfast

Last year I stayed at the Hyatt Union Station but I don't think you stayed there
Any news on dinner?
I have asked the powers that be about allowing John on the panel. They are getting back to me.
Fingers crossed!!
Best,
Shana

Shana Madoff
Compliance Counsel
Bernard L. Madoff Investment Securities LLC
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e-mail: smadoff@madoff.com

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

03/02/2006 03:53 PM

To "Shana Madoff" <SMadoff@madoff.com>
cc

Subject RE: St. Louis Topical Breakfast

Decent hotel in st louis? Can't remember where we stayed last year.

From: Shana Madoff [mailto:SMadoff@madoff.com]
Sent: Tuesday, February 28, 2006 3:00 PM
To: Swanson, Eric J.
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

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." <SwansonE@sec.gov>

02/28/2006 12:36 PM

To "Shana Madoff" <SMadoff@madoff.com>
cc

Subject RE: St. Louis Topical Breakfast

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: Personal Privacy 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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