


TABLE 1

INVESTOR COMPLAINTS RECEIVED BY OIEA THROUGH 12/15/08
RELEVANT TO MADOFF INVESTIGATION

ATTORNEY WORK PRODUCT

PRIVILEGED AND CONFIDENTIAL

OIEA FILE No./OIG Submission Appendix Page Numbers	INVESTOR NAME	CONTACT DATE	ENTITY NAME AS RECORDED IN ACTS	NATURE OF COMPLAINT	REFERRAL WITHIN SEC
HO 372641 pps. 7-11	Anonymous	8/8/02	Bernie Madoff/Madoff Securities	Letter coded in ACTS as manipulation of securities, prices or markets. <i>No additional details are available. File was scheduled for destruction. Request out to National Archives to confirm whether it still exists or not.</i>	No
NERO 1066672 pps. 12-13	Anonymous	2/16/05	Bernard L. Madoff LLC	Allegation that Oppenheimer employee directed customer order flow along with agency trades to Madoff and two other firms in exchange for gifts.	No, but referral made  Personal Privacy NASD.
NERO 1072975 pps. 14-15	James Tucker (see NERO 1065075P)	5/17/05 (4/12/05)	Madoff Investments	Investor disputed company explanation re the trade execution and requested investigation.	Yes. Letter forwarded to OCIE exam staff [Peter Lamore and William Ostrow] on site at Madoff.

Notes:

- Files ending in P are phone calls
- Records are retained for two years on site. They are archived for an additional two years before being destroyed
- The results include searches of the ACTS database and the OIEA archives for help@sec.gov and oiea@sec.gov as well as the chairmanoffice@sec.gov subfolder of the help box.
- Highlighted file numbers are those file numbers relevant to the allegations made against BMIS and Madoff on 12/11/08. (Files HO 1190190, HO 1193524, and HO 1270413. No conclusion can be drawn about file HO 372641.

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HO 1190190 pps. 16-19	Anonymous	11/28/06	Bernard L. Madoff Investment Securities LLC	"While I have no specific information/evidence of wrongdoing, I would be interested if I were you in investigating the combined activities of Bernard L. Madoff Investment Securities LLC (money manager and market maker) and the hedge funds managed by Fairfield Greenwich Group. No down months and low volatility all the time just doesn't add up."	No

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HO 1193524 pps. 20-34	Anonymous	12/06/06	Bernard L. Madoff Investments LLC	<p>Writer alleged that assets of the late Norman F. Levy were "co-mingled" with funds controlled by Madoff firm, with gains being retained by Madoff. Also alleged that this action may have been done with Levy's knowledge to avoid federal and state estate taxes.</p> <p>[Note: Letter has two dates: 4/26/06 and 12/6/06. Letter was received in Chairman's Office and forwarded to OIEA in 12/06.]</p>	Yes, as an FYI to Simona Suh (NYRO) on 12/14/06.

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HO 1270413 pps. 35-39	Anonymous	3/20/08	Bernard Madoff	Duplicate of letter in File HO 1193524 above, with supplemental information added. Supplemental information stated: "It may be of interest to you to know that Mr. Bernard Madoff keeps two (2) sets of records. The most interesting of which is on his computer which is always on his person." Letter was date-stamped 3/31/08 by Chairman's Correspondence Unit and forwarded to OIEA.	Yes, as an FYI to Simona Suh (NYRO) on 4/7/08.
HO1308192 pps. 54-57	Anonymous	12/15/08.	Bernard L. Madoff	Fax from former BMIS employee alleging misconduct on part of Madoff firm personnel	Yes, by ██████████ to ██████████ Thomsen, Curtis, Clarkson, Richards and Walsh on 12/16/08.

Personal Privacy

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