

File - HO372641

Anonymous Complaint  
2002

[Restore Tabs](#)

**Summary Information**

File Number HO372641  
Assigned Office 42 - OFFICE OF INVESTOR EDUCATION AND ADV  
Assigned To Personal Privacy Reassign To (no reassignment)  
Assignment Date 08/09/2002  
Contact Type Letter  
File Type Complaint Status Closed  
Contact Date 08/08/2002 Received Date 08/09/2002  
Priority No Due Date 08/09/2002

**Investor and Registered Representative Information**

| Name           | Type                      | Company           |                           |
|----------------|---------------------------|-------------------|---------------------------|
| Anonymous      | Correspondent Investor    |                   | <a href="#">View/Edit</a> |
| Madoff, Bernie | Registered Representative | Madoff Securities | <a href="#">View/Edit</a> |

**Assignment History**

| Assignment Date     | Assignee   |
|---------------------|--|
| 08/09/2002 12:00 AM | <span style="background-color: black; color: black;">Personal Privacy</span> |

**Entities**

| Name              | Type                  | Issuer |                           |
|-------------------|-----------------------|--------|---------------------------|
| Madoff Securities | Mutual fund - general |        | <a href="#">View/Edit</a> |

**Complaint/Inquiry Codes**

| Code and Description   |                           |
|--|---------------------------|
| 081 - Manipulation of securities, prices or markets (Group: GM-General Market Concerns/Events) | <a href="#">View/Edit</a> |

**Product**

Product Name  
Product Code 83 - No Product/Product not mentioned 83 - No Product/Product not mentioned

**Analysis**

Comment

**Contacts with Investor/Entity**

| Type | Reply | Date | Comment |
|------|-------|------|---------|
|------|-------|------|---------|

**Referrals**

| Referral Date | Referred To | Referral Type | Referred Reason |                           |
|---------------|-------------|---------------|-----------------|---------------------------|
|               |             |               |                 | <a href="#">View/Edit</a> |

**Disposition Information**

Disposition Code 04 - No response possible; i.e., no address, anonymous, missing file, etc.  
Disposition Date 08/09/2002  
Disposition  
Comment  
Investor Amount  
Recovered

**Results**

Code and Description

[Send Email](#)

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**Contacts with Investor/Entity**

Type      Reply      Date      Comment

Save Updates

Reset

Required fields are shown with a yellow background and an asterisk (\*)