

File - NERO106672

[Restore Tabs](#)

ORDER FLOW

Summary Information

File Number NERO106672
 Assigned Office 01 - NEW YORK REGIONAL OFFICE
 Assigned To SMITH, DONNA Reassign To (no reassignment)
 Assignment Date 04/19/2005
 Contact Type Letter
 File Type Complaint Status Closed
 Contact Date 02/16/2005 Received Date 03/01/2005
 Priority No Due Date 05/19/2005

Investor and Registered Representative Information

Name	Type	Company	
Anonymous	Correspondent Investor		View/Edit
Pilla, David	Registered Representative	Oppenheimer & Co	View/Edit
Marcus, Brett	Registered Representative	Oppenheimer & Co	View/Edit

Assignment History

Assignment Date	Assignee
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Entities

Name	Type	Issuer	
Oppenheimer & Co	Broker-dealer		View/Edit
Crown Securities	Broker-dealer		View/Edit
Bernard L. Madoff LLC	Broker-dealer		View/Edit

Complaint/Inquiry Codes

Code and Description	
108 - Repeat complaint: Duplicate (Group: GC-General Codes)	View/Edit

Product

Product Name USHG
 Product Code 01 - Equity security (general) 01 - Equity security (general)

Analysis

Personal Privacy
 Comment anonymous complaint is re: "unethical and improper behavior by [redacted] in charge of the OTC dept @ Oppenheimer. A search of NASDAQ, Pink Shts and Yahoo Finance found no USHG symbol.

Contacts with Investor/Entity

Type	Reply	Date	Comment	
Notes	Letter	04/19/2005	complaint alleges that [redacted] directed customer order flow along w/agency trader [redacted] to specific firms in return for gifts in excess of \$100. Other firms that possibly engaged (refer to Content Box)	View/Edit
Contact To non-SEC Agency or Third Party	Letter	04/19/2005	referred to [redacted] /NASD Enf Attorney as per Ellen Hersh.	View/Edit

Referrals

Referral Date	Referred To	Referral Type	Referred Reason	
04/19/2005	NASD - Personal Privacy [redacted]	Y - External information	07 - Broker-dealer violations	View/Edit

Disposition Information

Disposition Code 08 - Referral to outside organization; SRO, federal, state agency

Disposition Date 04/19/2005

Disposition Comment

Investor Amount Recovered

Results

Code and Description

[Send Email](#)

Contacts with Investor/Entity

Type	Reply	Date	Comment	Personal Privacy
Notes	Letter	04/19/2005	complaint alleges that [redacted] directed customer order flow along w/agency trade [redacted] to specific firms in return for gifts in excess of \$100. Other firms that possibly engaged (refer to Content Box	
Contact To non-SEC Agency or Third Party	Letter	04/19/2005	referred to [redacted]	Personal Privacy

NASD Enf Attorney as per Ellen Hersh.

There is no content associated with this Contact.

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