

File - HO1193524

The file HO1193524 was successfully updated.  
Status has been updated from Unanswered to Closed.

[Restore Tabs](#)

Summary Information

File Number HO1193524

Assigned Office 42 - OFFICE OF INVESTOR EDUC. & ASSIST.

Assigned To POWERS, DAVID

Reassign To (no reassignment)

Assignment Date 12/13/2006

Contact Type  Email  Fax  Letter  Other  Phone  Walk-in  WebForm-C  
 WebForm-F  WebForm-Q

File Type  Complaint  Inquiry Status Closed

Contact Date 12/06/2006 Received Date 12/13/2006  
Priority  Due Date 12/19/2006

Investor and Registered Representative Information

Name Anonymous Type Correspondent Investor Company Add New Person  
View/Edit

Assignment History

Assignment Date Assignee  
Entities Name Type Issuer Add New Entity  
View/Edit  
Bernard L. Madoff Broker-dealer  
Investment Securities LLC

Complaint/Inquiry Codes

Code and Description 074 - Investigations: Request for SEC to investigate (Group: GC-General Codes) Add New Code  
View/Edit

Product

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

Analysis

Comment

Contacts with Investor/Entity

Type Reply Date Comment Add New Contact  
View/Edit  
Contact to Other SEC Internal 12/14/2006 ...referral to NERO...(RE: NY-07563-A)...

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Referrals

Referral Date	Referred To	Referral Type	Referred Reason	<a href="#">Add New Referral</a>
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Disposition Information

Disposition Code: 09 - Referral within SEC for response; no letter sent to investor

Disposition Date: 12/14/2006

Disposition Comment: ...anonymous contact referred to NERO pursuant to NY-07563-A...

Investor Amount Recovered

Results

Code and Description

[Send Email](#)

[Add New Result](#)

Contacts with Investor/Entity

Type	Reply	Date	Comment
Contact to Other SEC Division or Office	Internal	12/14/2006	...referral to NERO...(RE: NY-07563-A)...

Office of Investor Education and Assistance  
 Securities and Exchange Commission  
 Washington, D.C. 20549

Referral

TO: Region/District/Division  
Simona Suh NERO

From: David Powers Specialist Date: December 14, 2006

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