

**Enforcement Matter Under Inquiry (MUI) MLA-02469**

**!Not for public release**

Enforcement Matter Under Inquiry (MUI) MLA-02469 in relation with the name **BERNARD L MADOFF INVESTMENT SECURITIES**

**Contents**

Assigned Staff | Related Name(s) | Classifications | Keywords | Case Origin | Security Type  
Related Matter(s) |

**MUI Summary**

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**Case Name:** CERTAIN BROKER DEALERS IN VIOLATION OF LIMIT ORDE  
**MUI Number:** MLA-02469  
**Type:** MATTER UNDER INQUIRY  
**MUI Status:** Closed/Inapprop. for Enf. Act.  
**Date Opened:** Apr 4,2001  
**Date Closed:** Nov 20,2001  
**Branch Chief Name:** LEVIN, VICTORIA A  
**Branch Chief Phone:** 323-965-3872  
**Organization Code:** 08332

**Assigned Staff**

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**Branch Chief Name:** LEVIN, VICTORIA A  
**Branch Chief Phone:** 323-965-3872  
**Organization Code:** 08332  
**Staff Name:** HYATT, CLIFFORD **Phone Number:** [Personal Privacy] **Primary?:**  
**Staff Name:** [Former Enforcement Staff Attorney #2] **Phone Number:** [Personal Privacy] **Primary?:**

**Related Names**

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**Related Names:** BERNARD L MADOFF INVESTMENT SECURITIES **Relationship:** BROKER DE  
**Related Names:** CERTAIN BROKERS DEALERS IN VIOLATION OF LIMIT ORDER **Relationship:** BROKER DE

**Related Names**  
**Related Names**

DISPLAY  
Examination Material



**Relationship: BROKER DE**  
**Relationship: BROKER DE**

Classifications

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**Classification: B-D: OTHER Primary?: YES**

Keywords

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**Keyword: FAILURE TO SUPERVISE**

Origin

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**Organization: OTHER Primary?: YES**

Security Types

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**Security Type: CS Description: COMMON STOCK**

Trading Markets

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**Market(s): OTC Description: OVER-THE-COUNTER (NON-NASDQ)**

Related Matters

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**: No Related Matter Record Found**

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