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 Typ | Related Matter(s)

MUI Summary

Case Name: CERTAIN BROKER DEALERS IN VIOLATION OF LIMIT ORDER
MUI Number: MLA-02469
Type: MATTER UNDER INQUIRY
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

Branch Chief Name: LEVIN, VICTORIA A
Branch Chief Phone: 323-965-3872
Organization Code: 08332

Staff Name: HYATT, CLIFFORD Phone Number: Primary?:
Staff Name: Phone Number: Primary?:

Related Names

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

| Relationship: BROKER DE |

#### Classifications

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

#### Keywords

**Keyword:** FAILURE TO SUPERVISE

#### Origin

**Organization:** OTHER Primary?: YES

#### Security Types

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

#### Trading Markets

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

#### Related Matters

: No Related Matter Record Found