

Biolsi, Thomas A

From: Iris Delgado [idelgado@madoff.com] on behalf of Shana Madoff [SMadoff@madoff.com]

Sent: Wednesday, October 10, 2007 12:36 PM

To:

Personal Privacy

Subject: Washington DC Compliance & Regulatory Forum

Hi again. Thank you for agreeing to participate in our upcoming Washington D.C. Compliance & Regulatory Forum in on October 25, 2007.

As you may already know, you are in good company. But let's increase our numbers even further!

I was hoping you would help us get the word out about our conference. Increased participation and attendance always enhances the dynamics of our discussions.

Please feel free to forward this link to anyone you think might be interesting in attending. This link represents our conference agenda and allows people to register on-line
<http://www.sifmacl.org/en/cev/?22>

Also, we are happy to forward an invitation to anyone you suggest.

Please remember that there will be a networking reception for speakers and conference participants at the close of our day-long seminar. Confirmed regulatory speakers include:

Robert Colby, Deputy Director, Division of Market Regulation, United States Securities & Exchange Commission

Mary Ann Gadziala, Associate Director, OCIE, United States Securities & Exchange Commission

Thomas Biolsi, Associate Regional Director of Examinations, Northeast Regional Office, Securities & Exchange Commission

James F. Duffy, Executive Vice President and General Counsel, NYSE Regulation, Inc.

Grace Vogel, Executive Vice President, Member Regulation, FINRA

7/2/2009

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Michael Rufino, Senior Vice President, Member Regulations, Sales Practice Review, FINRA

John Malitzis, Senior Vice President, Market Surveillance, New York Stock Exchange

James S. Shorris, Head of Enforcement, NASD

Stephen Luparello, Senior Vice President, Regulatory Operations, FINRA

Tom Gira, Executive Vice President, Market Regulation, FINRA

Daniel M. Sibears, Senior Vice President & Deputy, Market Regulatory, FINRA

Marc Menchel, Executive Vice President & General Counsel, FINRA

Richard Wallace, Vice President & Chief Counsel, Market Regulation, FINRA

David Massey, Deputy Securities Administrator, North Carolina, Secretary of State Securities Division

Patricia Struck, Head of Division of Securities , Wisconsin Department of Financial Institutions

Industry speakers include:

UBS, Head of Compliance

Citigroup Global Wealth Management

AG Edwards & Sons, Inc.

Bear Stearns & Co., Inc

Lehman Brothers

Morgan Stanley

Bank of America

Ameriprise Financial Inc.

Merrill Lynch & Co., Inc.

Legal counsel speakers include:

Bingham McCutchen LLP

WilmerHale

Morgan, Lewis & Bockius LLP

Pickard & Djinis LLP

Dechert LLP

Foley & Lardner LLP

LeClair Ryan LLP

Donovan & Rainie, LLC

THANKS AGAIN!! - Shana

Shana Madoff
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