

RE: Seattle Topical Breakfast

8/13/2004 12:27:02 AM

From: SMadoff@madoff.com [SMadoff@madoff.com]
To: Eric J. Swanson [SwansonE@sec.gov]

On your last email regarding industry standards and compliance I have lots of thoughts. I am sitting in my apartment with lots of boxes getting ready for a weekend of moving that starts Friday. I would love to chat about this tomorrow afternoon since I am moving in the morning. Will you be around at 3pm?

Sent from my BlackBerry Wireless Handheld

----- Original Message -----

From: "Swanson, Eric J." [SwansonE@sec.gov]
Sent: 08/12/2004 03:38 PM
To: Shana Madoff
Subject: RE: Seattle Topical Breakfast

We're in. Its been too long - i'm starting to miss it.

-----Original Message-----

From: SMadoff@madoff.com [mailto:SMadoff@madoff.com]
Sent: Thursday, August 12, 2004 3:07 PM
To: Swanson, Eric J.
Subject: RE: Seattle Topical Breakfast

So glad you asked. Dallas is a possibility for October. I am in the process of securing a host. [Redacted] was also interested in doing Dallas. I think having you, John and [Redacted] would be fabulous! Let me know your thoughts on this.

Best,

Shana

Shana Madoff
Compliance Counsel
Bernard L. Madoff Investment Securities LLC
phone: (212) 230-2411
e-mail: smadoff@madoff.com

"Swanson, Eric J." <SwansonE@sec.gov>

08/12/2004 02:59 PM

To "SMadoff@madoff.com" <SMadoff@madoff.com>

cc

Subject RE: Seattle Topical Breakfast

Hi Shana - anywhere else we should go in the meantime?

-----Original Message-----

From: SMadoff@madoff.com [mailto:SMadoff@madoff.com]

Sent: Thursday, August 12, 2004 2:58 PM

To: SwansonE@sec.gov; mccarthyvia@sec.gov; [Redacted] Personal Privacy

Cc: [Redacted] Personal Privacy

Subject: Seattle Topical Breakfast

Hi all!

Hope everyone's summer is going well. The SIA C & L Executive Committee has decided to postpone the Seattle topical breakfast AGAIN until November.

I will work with the NASD District Office in Seattle to come up with some new dates. If you know of any dates that do not work for you please let me know.

Regards,

Shana

Shana Madoff
Compliance Counsel
Bernard L. Madoff Investment Securities LLC
phone: (212) 230-2411
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