

**File - NERO1072975**

[Restore Tabs](#)

**Summary Information**

File Number NERO1072975  
 Assigned Office 01 - NEW YORK REGIONAL OFFICE  
 Assigned To SMITH, DONNA Reassign To (no reassignment)  
 Assignment Date 05/17/2005  
 Contact Type Letter  
 File Type Complaint Status Closed  
 Contact Date 04/13/2005 Received Date 04/15/2005  
 Priority No Due Date 06/16/2005

**Investor and Registered Representative Information**

Name	Type	Company	
Tucker, James	Correspondent Investor		<a href="#">View/Edit</a>

**Assignment History**

Assignment Date	Assignee
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**Entities**

Name	Type	Issuer	
Fidelity Brokerage Services Inc.	Broker-dealer	Time Warner	<a href="#">View/Edit</a>
Madoff Investments	Market makers	Time Warner	<a href="#">View/Edit</a>

**Complaint/Inquiry Codes**

Code and Description	
088 - Market maker activities (Group: GM-General Market Concerns/Events)	<a href="#">View/Edit</a>
096 - Pricing Information: Inaccurate quotes/pricing information (Group: SP-Sales Practices)	<a href="#">View/Edit</a>
144 - Trade Execution: Failure to get best execution (Group: OP-Operational Problems)	<a href="#">View/Edit</a>

**Product**

Product Name  
 Product Code 01 - Equity security (general) 01 - Equity security (general)

**Analysis**

Comment

**Contacts with Investor/Entity**

Type	Reply	Date	Comment	
Initial Contact to SEC	Letter	04/14/2005		<a href="#">View/Edit</a>
INVESTOR: Additional Information Provided	Letter	07/25/2005	Tucker disputes firm's reply to him dated 04.21.05 and asks for investigation.	<a href="#">View/Edit</a>
SEC: Close-Out Reply to Investor	Letter	09/09/2005		<a href="#">View/Edit</a>

**Referrals**

Referral Date	Referred To	Referral Type	Referred Reason	
05/18/2005	William Ostrow - NERO BD	F - Internal follow-up action	11 - Manipulation of stock price	<a href="#">View/Edit</a>

**Disposition Information**

Disposition Code 07 - Referral within SEC; with response to investor  
 Disposition Date 05/17/2005  
 Disposition letter was a cc: NERO. Gave copy to Peter Lamore and William Ostrow on May 18, 2005 - who are currently in Comment field @ Madoff.

Investor Amount  
Recovered

**Results**

Code and Description

[Send Email](#)

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INVESTOR: Additional Information Provided	Letter	07/25/2005	Tucker disputes firm's reply to him dted 04.21.05 and asks for investigation.
SEC: Close-Out Reply to Investor	Letter	09/09/2005	

There is no content associated with this Contact.

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