

Enforcement Investigation NY-07563-A

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Enforcement Investigation NY-07563-A in relation with the name **Bernard L. Madoff Investment**

Contents

Assigned Staff | Related Name(s) | Classifications | Keywords | Violation(s) | Case Origin | Event(s) | Related Matter(s) | Comments |

Investigation Summary

Case Name: CERTAIN HEDGE FUND TRADING PRACTICES
Investigation Number: NY-07563-A
Type: Investigation
Investigation Status: Active
Date Opened: Jan 24,2006
Date Closed:
Formal Order Date :
Branch Chief Name: CHEUNG, MEAGHAN SHEVLIN
Branch Chief Phone: Personal Privacy
Organization Code: [Redacted]

Assigned Staff

Branch Chief Name: CHEUNG, MEAGHAN SHEVLIN
Branch Chief Phone: Personal Privacy
Organization Code: [Redacted]
Staff Name: SUH, SIMONA **Phone Number:** Personal Privacy **Primary**
Staff Name: CHEUNG, MEAGHAN **Phone Number:** [Redacted] **Primary**

Related Names

Related Names: Bernard L. Madoff Investment **SSN/TIN:** **Relationship:** RELATED PAR
Certain Hedge Fund

Related Names: Trading Pr **SSN/TIN:** **Relationship:** RELATED PAR
Related Names: DIPASCALI FRANK **SSN/TIN:** **Relationship:** WITNESS
Related Names: Fairfield Greenwich **SSN/TIN:** **Relationship:** RELATED PAR
Group
Related Names: MADOFF BERNARD **SSN/TIN:** None **Relationship:** WITNESS
Related Names: MADOFF BERNARD **SSN/TIN:** **Relationship:** RELATED PAR
Related Names: Law Enforcement **SSN/TIN:** None **Relationship:** WITNESS

Classifications

Classification: BROKER-DEALER **Primary?:** YES
Classification: INVESTMENT ADVISER **Primary?:** NO
Classification: ISSUER REPRPNG AND DISCLOSURE **Primary?:** NO

Keywords

Keyword: FAILURE TO SUPERVISE

Possible Violations

: No Violation Record Found

Origin

Organization: INFORMANT/COMPLAINANT **Primary?:** YES

Security Types

: No Security Record Found

Trading Markets

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: No Trading Market Record Found

Events

Event Date: May 19,2006	Event Description: TESTIMONY TAKEN	Comr
Event Date: Jan 30,2006	Event Description: TESTIMONY TAKEN	Comr
Event Date: Jan 26,2006	Event Description: TESTIMONY TAKEN	Comr
Event Date: Jan 24,2006	Event Description: MUI/Investigation Status Change	Comr

Related Matters

File Number: MNY-07563 **Name:** Certain Hedge Fund Trading Practices Relationship

Comments

Comments: No Comment

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