Circle one **Open / Close / Revise**

CATS 2000 DATA ENTRY FORM
MATTER UNDER INQUIRY

Use this form to to open/close a MUI in CATS 2000 or to add data to an existing MUI. If you are opening a MUI, you must use this form to open the Case in which it will be a component. Fill out a separate Related Name data entry form for each related name.

Case/MUI Name: *Certain Broker-Deales in Violation of Limit Order Display Rule*
MUI No.: MUH-02469

Case Organization Code: 08322

Date Case Opened: _____ Date MUI Opened: 4/4/01
Date Case Closed: _____ Date MUI Closed: 11/15/01

MUI Status:

ACTIVE	Active
CL-FED	Closed/Sent to Other Fed Agncy
CL-INAPP	Closed/Inapprop. for Enf. Act.
CL-INV	Closed/Investigation Opened
CL-LMTS	Closed/Resource Limits

CL-NOSRO	Closed/Inapprop. for SRO Action
CL-S/L	Closed/Sent to State/Locl Agnc
CL-SRO	Closed/Sent to SRO
CL-TRNSF	Transferred to Other Comm. Ofc
CL-MRG	Closed/Merged with Other Inv.

Staff Name: ▓Former Enforcement Staff Attorney #2▓
Date Assigned: 5/22/01
Date Removed: _____
Primary: ☒ Yes ☐ No

Staff Name: _____
Date Assigned: _____
Date Removed: _____
Primary: ☐ Yes ☐ No

Consult Lookup Table Book for codes to complete the following entries

Classification Codes (circle one primary):
_____

Keyword Codes:
_____

Origin Codes (circle one primary):
_____

Security Type Codes:
_____

Trading Market Codes:
_____

Violation Codes (list additional violations below):
_____

Related Matter (Name/Number): _____

Comments: *The staff has determined that this matter is inappropriate for enforcement action given that the systems problems that resulted in the Display Rule violations appear resolved*

▓Former Enforcement Staff Attorney #2▓

Data Entry Authorized by: ▓   ▓   Date: 11/15/01

CATS 2000
04/03/00

MADOFF_EXHIBITS-06081