

TABLE 2

**INVESTOR COMPLAINTS RECEIVED BY OIEA PRIOR TO 12/11/08
NOT RELEVANT TO MADOFF INVESTIGATION**

ATTORNEY WORK PRODUCT

PRIVILEGED AND CONFIDENTIAL

| OIEA FILE NO./ OIG Submission Appendix Page Numbers | INVESTOR NAME | CONTACT DATE | ENTITY NAME AS RECORDED IN ACTS | NATURE OF COMPLAINT | REFERRAL WITHIN SEC |
|--|--------------------------|-------------------------|--|---|--------------------------------------|
| [REDACTED] | [REDACTED] | 9/4/2003 | NA/General, Miscellaneous or Unknown | Investor sought an explanation of "Madoff exemption" for market-makers. | No |
| | | 11/5/03 | SEC | Naked short sale complaint identifying Peter B. Madoff as DTC board member | No |
| | | 12/29/03 | Fidelity Brokerage Services | Investor was upset that Fidelity routed NYSE stock orders to Bernard Madoff, Knight Capital Markets, the Boston Stock Exchange and the Chicago Stock Exchange. | No |
| | | 1/25/05 | N/A. Federal Regulatory Agencies | Letter from Security Traders Association commenting on SEC rulemaking. Reference to Madoff is to Stephen Kay of BMIS who was apparently STA officer. | No |
| HO 1130099P pps. 87-88 | Anonymous | 2/8/06 | Bernie Madoff | Caller wanted information on SEC investigations involving Madoff. | No |
| [REDACTED] | [REDACTED] | 9/29/06 | Bernard L. Madoff Investment Securities | Request for firm's SEC filings/financials. Directed to Public Reference. | No, transferred to Public Ref. |

Notes:

- Files ending in P are phone calls
- Records are retained for two years on site. They are archived for an additional two years before being destroyed
- The results include searches of the ACTS database and the OIEA archives for help@sec.gov and oiea@sec.gov as well as the chairmanoffice@sec.gov subfolder of the help box.
- Highlighted file numbers are those file numbers relevant to the allegations made against BMIS and Madoff on 12/11/08. (Files HO 1190190, HO 1193524, and HO 1270413. No conclusion can be drawn about file HO 372641.

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| <div style="background-color: black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> Personal Privacy </div> | 4/24/08 | Madoff Investments | Best execution complaint (Madoff was market maker; OIEA sent complaint to Fidelity for response). | No | |
| | 7/8/08 | Bernard L. Madoff Investment Securities LLC | Request for Form X-17A-5 | No | |

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