Exhibit 2

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UNITED STATES OF AMERICA

SECURITIES AND EXCHANGE COMMISSION

ATTESTATION

I HEREBY ATTEST

that:

Attached is a copy of, amendment to Form BD for registration as an broker-dealer, received in this Commission January 12, 2001, under the name Bernard L. Madoff Investment Securities LLC, File No. 8-8132, pursuant to the provisions of the Securities Exchange Act of 1934.

on file in this Commission

February 17, 2009 (Date)

Records Officer

It is hereby certified that the Secretary of the U.S. Securities and Exchange Commission, Washington, D.C., which Commission was created by the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.) is official custodian of the records and files of said Commission, and all records and files created or established by the Federal Trade Commission pursuant to the provisions of the Securities Act of 1933 and transferred to this Commission in accordance with Section 210 of the Securities Exchange Act of 1934, and was such official custodian at the time of executing the above attestation, and that he/she, and persons holding the positions of Deputy Secretary, Assistant Director, Records Officer, Branch Chief of Records Management, and the Program Analyst for the Records Officer, or any one of them, are authorized to execute the above attestation.

For the Commission

Elizareth M. Murphy

Secretary

SEC 334 (10/07)

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UNIFORM APPLICATION FOR BROKER-DEALER REGISTRATION

Primary Business Name: BERNARD L. MADOFF INVESTMENT SECURITIES LLC BD Number: 2625

BD - AMENDMENT

01/12/2001

BD - APPLICANT INFORMATION					
OMB Number	3235-0012				
Evniros	November 30, 2010				
Estimated average burden ho	ırs per:				
Response					

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the jurisdictions and may result in disciplinary, administrative, injunctive or criminal action.

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.

C APPLICATION S AMENDMENT

- 1. Exact name, principal business address, mailing address, if different, and telephone number of applicant:
 - A. Full name of applicant(if sole proprietor, state last, first and middle name): BERNARD L. MADOFF INVESTMENT SECURITIES LLC
 - B. IRS Empl. Ident. No.:

13-1997126

- C. (1) Name under which broker-dealer business primarily is conducted, if different from Item 1A. BERNARD L. MADOFF INVESTMENT SECURITIES LLC
 - (2) List on Schedule D, Page 1, Section I, Other Business Names any other name by which the firm conducts business and where it is used.
- D. If this filing makes a name change on behalf of the applicant, enter the new name and specify whether the name change is of the

□ applicant name (1A) or □ business name (1C): Please check above.

E. Firm main address: (Do not use a P.O. Box)

Number and Street 1: 885 THIRD AVENUE

Number and Street 2:

City:

NEW YORK

State: New York

Country: UNITED STATES Zip/Postal Code:

10022

F. Mailing Address, if different:

Number and Street 1:

Number and Street 2:

885 THIRD AVENUE

City:

State:

Country:

Zip/Postal Code:

10022

NEW YORK **UNITED STATES** New York

G. Business Telephone Number: 212-230-2424

H. Contact Employee:

Name: PETER MADOFF

DIRECTOR OF TRADING/CHIEF COMPLIANCE OFFICER

Telephone Number:

212-230-2424

Securities or complying with the laws of the State(s) designated in Item 2 relating to either the offer sole of securities or commodities, the undersigned and applicant hereby certify that the applicant is in compliance with applicable state surely bonding requirements and irrevocably appoint the administrator of each of those State(s) or such other person designated by law, and the successors in such office, attorney for the applicant in said State(s), upon whom may be served any notice, process, or pleading in any action or proceeding against the applicant raining out of rin connection with the offer or sale of securities or commodities, or out of the Violation or alleged violation of the laws of those State(s), and the applicant rerection or proceeding against the explicant may be commenced in any court competent jurisdiction and proper venue within said State(s) by service of process upon said applicant evidence of the said State(s). The applicant consents that service of any civil action brought by service of process upon said applicant with said State(s). The applicant consents that service of any civil action brought by or notice of any proceeding before the Securities and Exchange Commission or any self-regulatory organization in connection with the applicant's broker-dealer activities, or of any application for a protective decree filed by the Securities Investor Protectic Corporation, may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items IE and IF. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true and complete. The undersigned and applicant from the process of the sec	*330-Igu Duc 331	PGP 1/25 Entered 00/24/25 PGP 1/25 Entered 00/24/2	.5 22.30.46 EXHIDIC 2		
Signer descurrities or commodities, the undersigned and applicant hereby certify that the applicant is in ompliance with applicable state surety bonding requirements and irrevocably appoint the administrator of each of those State(s) or such other person designated by law, and the successors in such office, attorney for the applicant in said State(s), upon whom may be served any notice, process, or pleading in such office, attorney for the applicant in said State(s), upon whom may be served any notice, process, or pleading in such office, attorney for the applicant in said State(s), upon whom may be served any notice, process, or pleading in such office, attorney for commodities, or out of the violation or alleged violation of the laws of those State(s), and the applicant here consents that any such action or proceeding against the applicant any such action or proceeding against the applicant and such any such action or competent jurisdiction and proper venue within said State(s) were of process upon said appointee with the same effect as if applicant were a resident in said State(s) were of process upon said appointee with the same effect as if applicant were a resident in said State(s) were of proceeding before the Securities and Exchange Commission or any self-regulatory organization in connection with the applicant's state(s) and and all articles, or of any application for a protective decree filed by the Securities Investor Protectic Corporation, may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items IE and IF. The undersigned, being first duly swom, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant that the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are appropriate box(es) each governmental authority, organization,	EGUTTON:		ranganangang orang seriangan and idahilangan papara seriangkan andaran units nanganan serias serias serias seri -		
Securities and Exchange Commission or any self-regulatory organization in connection with the applicant's broker-dealer activities, or of any application for a protective decree filed by the Securities Investor Protectic Corporation, may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 1E and 1F. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true and complete. Pate MM/DD/YYYY Ol/12/2001 Authorized Signatory FITTLE Authorized Signatory FITTLE CHIEF COMPLIANCE OFFICER Subscribed and sworn before me this	for the purposes of complying sale of securities or commodities compliance with applicable streach of those State(s) or such the applicant in said State(s), proceeding against the application commodities, or out of the victories that any such action competent jurisdiction and prothe same effect as if applicant	ies, the undersigned and applicant hereby cate surety bonding requirements and irrevocate other person designated by law, and the suppose when may be served any notice, product arising out of or in connection with the orbitation or alleged violation of the laws of those or proceeding against the applicant may be oper venue within said State(s) by service of	ertify that the applicant is in ably appoint the administrator of accessors in such office, attorney forcess, or pleading in any action or after or sale of securities or see State(s), and the applicant here commenced in any court of a process upon said appointee with	or eby	
and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits attached hereto, and other information flied herewith, all of which are made a part hereof, are current, true and complete. The undersigned and applicant further repress that to the extent any information previously submitted is not amended such information is currently accurat and complete. Date MM/DD/YYYY 01/12/2001 Name of Applicant BERNARD L. MADOFF INVESTMENT SECURITIES LLC Authorized Signatory PETER MADOFF Title CHIEF COMPLIANCE OFFICER Subscribed and sworn before me this	Securities and Exchange Combroker-dealer activities, or of Corporation, may be given by	mission or any <i>self-regulatory organization</i> in any application for a protective decree filed registered or certified mail or confirmed tele	n connection with the <i>applicant's</i> by the Securities Investor Protection egram to the <i>applicant's</i> contact	on	
Authorized Signatory PETER MADOFF Subscribed and sworn before me this day of, by Notary Public My commission expires County of State of	and with the authority of, said statements contained herein, which are made a part hereof that to the extent any informa-	applicant. The undersigned and applicant reincluding exhibits attached hereto, and othe are current, true and complete. The unders	epresent that the information and rinformation filed herewith, all of igned and applicant further repres		
Subscribed and sworn before me this					
BD - SECURITIES AND EXCHANGE COMMISSION 2. Indicate by checking the appropriate box(es) each governmental authority, organization, or jurisdiction in which the applicant is registered or registering as a broker-dealer. If applicant is registered or registering with the SEC, check here and answer Items 2A through 2D below. YES N A. Is applicant registered or registering as a broker-dealer under Section 15(b) or Section 15B of the Securities Exchange Act of 1934? B. Is applicant registered or registering as a broker-dealer under Section 15(b) of the Securities Exchange Act of 1934 and also acting or intending to act as a government securities, broker or dealer? C. Is applicant registered or registering solely as a government securities broker or dealer under Section 15C of the Securities Exchange Act of 1934? Do not answer "yes" to Item 2C if applicant answered "yes" to Item 2A or Item 2B. D. Is applicant answers "yes" to Items 2A and 2D, applicant expressly consents to the withdrawal of its registration as a government securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the Securities Exchange Act of dealer under Section 15C of the S					
Notary Public My commission expires County of State of BD - SECURITIES AND EXCHANGE COMMISSION 2. Indicate by checking the appropriate box(es) each governmental authority, organization, or jurisdiction in which the applicant is registered or registering as a broker-dealer. If applicant is registered or registering with the SEC, check here and answer Items 2A through 2D below. YES N A. Is applicant registered or registering as a broker-dealer under Section 15(b) or Section 15B of the Securities Exchange Act of 1934? B. Is applicant registered or registering as a broker-dealer under Section 15(b) of the Securities Exchange Act of 1934 and also acting or intending to act as a government securities, broker or dealer? C. Is applicant registered or registering solely as a government securities broker or dealer under Section 15C of the Securities Exchange Act of 1934? Do not answer "yes" to Item 2C if applicant answered "yes" to Item 2A or Item 2B. D. Is applicant ceasing its activities as a government securities broker or dealer? If applicant answers "yes" to Items 2A and 2D, applicant expressly consents to the withdrawal of its registration as a government securities Exchange Act of the Secur	Subscribed and sworn before	ne this day of	, by Year		
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registration as a government securities broker or dealer under Section 15C of the Securities Exchange Act of	D. Is <i>applicant</i> ceasing its acti	vities as a government securities broker or c	dealer?	•	
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0-04330-lgb Doc 331-2se Eiler 196/24/26 5 From 196/24/25-72530:48 $\begin{array}{c} \text{Pg 5 of 16} \\ \text{Note: The field below is reserved exclusively for the reporting of single stock futures activities by registered} \end{array}$ roker-dealers. This field cannot be utilized until the SEC approves rules relating to the form and content of such reporting.) **BD - SRO / JURISDICTION BD - SELF REGULATORY ORGANIZATIONS** 1 10 V **ISE AMEX BATS BSE CBOE** CHX NSX NASD NqLX NQX NYSE PHLX **ARCA BD - JURISDICTION** Alabama Montana Puerto Rico Alaska Nebraska Rhode Island Nevada South Carolina Iowa Arkansas New Hampshire South Dakota Kansas New Jersey ▼ Tennessee California Kentucky Colorado Louisiana Texas Connecticut Maine New York North Carolina Delaware Maryland √ Vermont District of Columbia Massachusetts North Dakota Virgin Islands **Virginia** Florida Michigan Ohio Minnesota Washington Georgia Oklahoma West Virginia Mississippi Hawaii Idaho Missouri Pennsylvania Wisconsin Wyoming **BD - LEGAL STATUS** 3. A. Indicate legal status of applicant: C Other (specify) Corporation • Sole Proprietorship © Partnership C Limited Liability Company B. Month applicant's fiscal year ends: **OCTOBER** C. If other than a sole proprietor, indicate date and place applicant obtained its legal status (i.e., state or country where incorporated, where partnership agreement was filed, or where applicant entity was formed): Country of formation: Date of formation: MM/DD/YYYY **State of formation:** Schedule A, Direct Owners and Executive Officers Section and, if applicable, Schedule B, Indirect Owners Section must be completed as part of all initial applications. Amendments to these schedules must be provided on Schedule C. 4. If applicant is a sole proprietor, state full residence address and Social Security Number. **Social Security Number:**

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Tumber and Street 1: 133 EAST 64TH STREET

Number and Street 2:

City: NEW YORK State: New York Country:

UNITED STATES OF AMERICA

Zip/Postal Code:

YES NO

© 0

10021

BD				

5. Is applicant at the time of this filing succeeding to the business of a currently registered broker-dealer?

Do not report previous successions already reported on Form BD.

If "Yes," contact CRD prior to submitting form; complete appropriate items on Schedule D, Page 1, Section III.

BD - ARRANGEMENTS	BD -	ARR	ANGE	MENTS
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		Yes	: No
6.	Does applicant hold or maintain any funds or securities or provide clearing services for any other broker or dealer?	C	G
7.	Does applicant refer or introduce customers to any other broker or dealer?	c	Œ
	If "yes," complete appropriate items on Schedule D, Page 1, Section IV, Arrangement Detail.		•
8.	Does applicant have any arrangement with any other person, firm, or organization under which:		XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
	A. any books or records of <i>applicant</i> are kept or maintained by such other <i>person</i> , firm or organization?	C	Œ
	B. accounts, funds, or securities of the <i>applicant</i> are held or maintained by such other <i>person</i> , firm, or organization?	C	Œ
	C. accounts, funds, or securities of customers of the <i>applicant</i> are held or maintained by such other <i>person</i> , firm, or organization?	C	G
	For purposes of 8B and 8C, do not include a bank or satisfactory control location as defined in paragraph(c) of Rule 15c3-3 under the Securities Exchange Act of 1934 (17 CFR 240. 15c3-3). If "Yes" to any part of Item 8, complete appropriate items on Schedule D, Page 1, Section IV, Arrangement Detail.		11 27 27 27 27 27 27 27 27 27 27 27 27 27
9.	Does any <i>person</i> not named in Item 1 or Schedules A, B, or C, directly or indirectly:	0000000 4000 41200000	>
	A. control the management or policies of the applicant through agreement or otherwise?	Ċ	Œ
	B. wholly or partially finance the business of applicant?	C	C
	Do not answer "yes" to 9B if the person finances the business of the applicant through: 1) a public offering of securities made pursuant to the Securities Act of 1933; 2) credit extended in the ordinary course of business by suppliers, banks, and others; or 3) a satisfactory subordination agreement, as defined in Rule 15c3-1 under the Securities Exchange Act of 1934 (17 CFR 240. 15c3-1). If "Yes" to any part of Item 9, complete appropriate items on Schedule D, Page 1, Section IV, Arrangement Detail.		THE PARTY OF THE P

BD - BUSINESS AFFILIATES

BD - Control Affiliates

YES NO

10. A. Directly or indirectly, does applicant control, is applicant controlled by, or is applicant under

1.0-04330-lighton tool ov 86,1-2y parthed so 6/,24/25 ration to red a 6/24/25 t22:80:48 en to securities or investment advisory business? Of 16	, ©	.С
If "Yes" to Item 10A, complete appropriate items on Schedule D, Page 2, Section V, Firm Affiliates.		
B. Directly or indirectly, is applicant controlled by any bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings bank or association, credit union, or foreign bank?	C	C
If "Yes" to Item 10B, complete appropriate items on Schedule D, Page 3, Section VI, Bank Affiliates.		
BD - DISCLOSURE QUESTIONS		
11. Use the appropriate DRP for providing details to "yes" answers to the questions in Item 11. Refer Explanation of Terms section of Form BD Instructions for explanations of italicized terms.	to th	е
CRIMINAL DISCLOSURE		
A. In the past ten years has the applicant or a control affiliate:	YES	NO
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any felony?	C	•
(2) been charged with any felony?	C	•
B. In the past ten years has the applicant or a control affiliate:		
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a misdemeanor involving: investments or an investment-related business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	C .	©
(2) been charged with a misdemeanor specified in 11B(1)?	C	©.
REGULATORY ACTION DISCLOSURE		
C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:	YES	NO
(1) found the applicant or a control affiliate to have made a false statement or omission?	C	©
(2) found the applicant or a control affiliate to have been involved in a violation of its regulations or statutes?	C	Œ
(3) found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	C	Œ
(4) entered an order against the applicant or a control affiliate in connection with an investment- related activity?	C	Œ
(5) imposed a civil money penalty on the applicant or a control affiliate, or ordered the applicant or a control affiliate to cease and desist from any activity?	C	c
D. Has any other federal regulatory agency, any state regulatory agency, or <i>foreign financial</i> regulatory authority:		
(1) ever found the applicant or a control affiliate to have made a false statement or omission or been dishonest, unfair, or unethical?	C	ē
(2) ever found the applicant or a control affiliate to have been involved in a violation of investment-related regulations or statutes?	C	r
(3) ever found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	C	c
(4) in the past ten years, entered an <i>order</i> against the <i>applicant</i> or a <i>control affiliate</i> in connection with an <i>investment-related</i> activity?	C	Œ
(5) ever denied, suspended, or revoked the applicant's or a control affiliate's registration or license or otherwise, by order, prevented it from associating with an investment-related business or restricted its activities?	C	©

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	10-04330 400 regulate 331-32 nizetland 06624/25 itie Enterand 06/24/25 22:30:48 Exhi Pg 8 of 16 (1) found the applicant or a control affiliate to have made a false statement or omission?	idit 2		
į	1 · ` · · · · · · · · · · · · · · · · ·		C	•
	(2) found the applicant or a control affiliate to have been involved in a violation of its rules (than a violation designated as a "minor rule violation" under a plan approved by the U.S Securities and Exchange Commission)?		©	O
	(3) found the applicant or a control affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted		C	©
,	(4) disciplined the applicant or a control affiliate by expelling or suspending it from member barring or suspending its association with other members, or otherwise restricting its activities?	ship,	0	•
debeldenmentary pt. (42-45-5)	F. Has the applicant's or a control affiliate's authorization to act as an attorney, accountant, or federal contractor ever been revoked or suspended?		C	•
MINISTERNA MARKAMANA	G. Is the <i>applicant</i> or a <i>control affiliate</i> now the subject of any regulatory <i>proceeding</i> that could in a "yes" answer to any part of 11C, D, or E?	d result	C	•
A STATE OF THE PARTY OF THE PAR	CIVIL JUDICIAL ACTION DISCLOSURE			
· ·	H. (1) Has any domestic or foreign court:	,	YES	NO
West Control of Control	(a) in the past ten years, enjoined the applicant or a control affiliate in connection with a investment-related activity?	any	C	•
	(b) ever found that the applicant or a control affiliate was involved in a violation of investment-related statutes or regulations?		C	<u>@</u>
THE RESIDENCE OF THE CONTROL OF THE	(c) ever dismissed, pursuant to a settlement agreement, an investment-related civil acti brought against the applicant or control affiliate by a state or foreign financial regula authority?		C	•
5175.001.0100000000000000000000000000000	(2) Is the applicant or a control affiliate now the subject of any civil proceeding that could re a "yes" answer to any part of 11H(1)?	esult in	C	©
	FINANCIAL DISCLOSURE			
	I. In the past ten years has the applicant or a control affiliate of the applicant ever been a securities of a control affiliate of a securities firm that:	urities `	YES	NO
	(1) has been the subject of a bankruptcy petition?		C	•
	(2) has had a trustee appointed or a direct payment procedure initiated under the Securities Investor Protection Act?	S	O	•
	J. Has a bonding company ever denied, paid out on, or revoked a bond for the applicant?		C	Œ.
	K. Does the applicant have any unsatisfied judgments or liens against it?		C	©
l	BD - TYPES OF BUSINESS		, , , , , , , , , , , , , , , , , , ,	•••••
j	12. Check types of business engaged in (or to be engaged in, if not yet active) by applicant. Do category that accounts for (or is expected to account for) less than 1% of annual revenue for securities or investment advisory business.		ck a	ny
	A. Exchange member engaged in exchange commission business other than floor activities	es. 🗀 E	мс	
	B. Exchange member engaged in floor activities.	i E	MF	
***************************************	C. Broker or dealer making inter-dealer markets in corporate securities over-the-counter.	₩.	DM	
	D. Broker or dealer retailing corporate equity securities over-the-counter.	E B	DR	
70 00 NO. 11 NO.	E. Broker or dealer selling corporate debt securities.	Пв	DD	
N20100 N	F. Underwriter or selling group participant (corporate securities other than mutual funds)	. Mu	ISG	. !
Electronic College	G. Mutual fund underwriter or sponsor.		1FU	
0.0000000000000000000000000000000000000	H. Mutual fund retailer.	i N	1FR	

T. 1. Brok 2. Brok U. Non-exc member V. Trading W. Private p X. Broker of 1. bank 2. insu Z. Other (g) 13. A. Does appli a broker fo B. Does appli If "yes", de	hange mem securities for placement of or dealer sel or dealer inv comparise details of cant effect to or others or cant engage escribe each rect owners A - 5%	ber arranging for transactions in commass a dealer for its over in any other non-set other business brief of the applicant requires than 5%	or limited partnershings or limited partnershings on the sections in listed sections or other receipg, kiosk or similar arricredit union. 1, Section II, Other anodity futures, communications or account?	ps in the ecurities vables. rangeme Business odities of the securities checkedule	e secondary by exchang ent with a: or commodit ection II, Ot	market. e y options her Busin 6 but les 6 or mor s.s.	TAS NEX TRA PLA MRI BNA INA OTH YES N as C G ess.
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T. 1. Broker of Y.	hange mem : securities for placement of or dealer sel or dealer inv	ber arranging for tra or own account. f securities. ling interests in mort olved in a networkin	or limited partnershinsactions in listed se	ps in the ecurities	e secondary by exchang	market.	□TAS □NEX □TRA □PLA □MRI
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T. 1. Brok2. BrokU. Non-exc memberV. Trading	hange mem securities fo	ber arranging for tra	or limited partnershi	ps in the	secondary	market.	□TAS □NEX □TRA
T. 1. Brok 2. Brok U. Non-exc member	hange mem	ber arranging for tra	or limited partnershi	ps in the	secondary	market.	□TAS □NEX
T. 1. Brok 2. Brok		<u>-</u>	or limited partnershi	ps in the	secondary	market.	TAS
T. 1. Brok			·		-		
	er or dealer	selling tax shelters	or limited partnershi	ne in nrir	12 4 21	utions	TAP
	ent advisor		,				IAD
R. Broker o	or dealer sel	ling securities of non	-profit organizations	(e.g., ch	nurches, hos	spitals).	NPB
Q. Broker o mutual f		ling securities of only	one issuer or assoc	iate issu	ers (other t	han	BIA
		or dealer or option w					РСВ
O. Broker o	or dealer sel	ling oil and gas inter	ests.				OGI
N. Real est	ate syndicat	or.					RES
M. Solicitor	of time dep	osits in a financial ir	stitution.				SSL
L. Broker o	or dealer sel	ling variable life insu	rance or annuities.				VLA
K. Municipa	al securities	broker.					□MSB
ງ. Municipa	al securities	dealer.					□MSD

LAWRENCE

COMPLIANCE OFFICER

BD - INDIRECT OWNERS

No Information Filed

BD Schedule C - Amendments to Schedules A & B

In the Type of Amd. column, indicate "A" (addition), "D" (deletion), or "C" (change of information about the same person).

Ownership Codes

NA - less than 5%

B - 10% but less than D - 50% but less than F - Other General

75%

are:

25%

Partners

A - 5% but less than C - 25% but less than E - 75% or more

10%

50%

List below all changes to Schedule A: (DIRECT OWNERS AND EXECUTIVE OFFICERS)

Full Legal

Name

DE/FE/I Type of Amd.

Title or Status

Date Acquired Own. Code

Control Person

PR CRD # (or SSN, IRS

Tax #, Emp. ID)

No Information Filed

List below all changes to Schedule B: (INDIRECT OWNERS)

Full	DE/FE/I	Type of	Entity in Which	Status	Date	Own.	Control	PR	CRD # (or
Legal		Amd.	Interest is		Acquired	Code	Person		SSN, IRS Tax
Name			Owned						#, Emp. ID)

No Information Filed

BD - OTHER BUSINESS NAMES

No Information Filed

BD - OTHER BUSINESS

Briefly describe any other business (Item 12Z).

BERNARD L. MADOFF IS A MEMBER OF THE CINCINNATI STOCK EXCHANGE AND IS A DESIGNATED MARKET-MAKER ON THAT EXCHANGE, ENGAGED IN INTER-DEALER MARKET-MAKING ACTIVITIES.

Briefly describe any other non-securities business (Item 13B).

BD - SUCCESSIONS

Date of Succession: MM/DD/YYYY Name of Predecessor:

01/01/2001

BERNARD L. MADOFF

Firm CRD Number

2625

IRS Employer Identification Number (if any)

SEC File Number (if any)

13-1997126

8-08132

Briefly describe details of the succession including any assets or liabilities not assumed by the successor.

EFFECTIVE JANUARY 1, 2001, PREDECESSOR WILL TRANSFER TO SUCCESSOR ALL OF PREDECESSOR'S ASSETS AND LIABILITIES, RELATED TO PREDECESSOR'S BUSINESS. THE TRANSFER WILL NOT RESULT IN ANY CHANGE IN OWNERSHIP OR CONTROL.

BD - ARRANGEMENTS / CONTROL PERSONS / FINANCING

This Disclosure Reporting Page (DRP BD) is an CINITIAL OR AMENDED response used to report details for affirmative responses to Items 11C, 11D, 11E, 11F or 11G of Form BD; Check item(s) being responded to: 11E(3) 11C(1) 11C(5) 11D(4) 11E(4) 11C(2) 11D(1) 11D(5) 11F 11C(3) [11D(2) 11E(1) **☑**11E(2) 11G □11C(4) □11D(3)

Use a separate DRP for each event or *proceeding*. An event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

339 190 reDocn331-2thaFiled 26/24/25 an Entered 26/24/25 22:30:481 F Exhibituse only one to report details related to the same ergnt.2fothlesent gives rise to actions by more than one regulator, vide details to each action on a separate DRP. not a requirement that documents be provided for each event or proceeding. Should they be provided, mey will not be accepted as disclosure in lieu of answering the questions on this DRP. f a control affiliate is an individual or organization registered through the CRD, such control affiliate need only complete Part I of the applicant's appropriate DRP (BD). Details of the event must be submitted on the control affiliate's appropriate DRP (BD) or DRP (U4). If a control affiliate is an individual or organization not registered through the CRD, provide complete answers to all the items on the applicant's appropriate DRP (BD). The completion of this DRP does not relieve the control affiliate of its obligation to update its CRD records. PART I A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are): The Applicant Applicant and one or more control affiliates One or more control affiliates If this DRP is being filed for a control affiliate, give the full name of the control affiliate below (for individuals, Last name, First name, Middle name). If the control affiliate is registered with the CRD, provide the CRD number. If not, indicate "non-registered" by checking the appropriate checkbox. ☐ This DRP should be removed from the BD record because the control affiliate(s) are no longer associated with the BD. B. If the control affiliate is registered through the CRD, has the control affiliate submitted a DRP (with Form U4) or BD DRP to the CRD System for the event? If the answer is "Yes," no other information on this DRP must be provided. ି Yes 🤨 No NOTE: The completion of this form does not relieve the control affiliate of its obligation to update its CRD records. **PART II** 1. Regulatory Action initiated by: SEC Other Federal State SRO Sporeign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. 2. Principal Sanction: Censure Other Sanctions: 3. Date Initiated (MM/DD/YYYY): If not exact, provide explanation: 4. Docket/Case Number: COMPLAINT NO. NY-802 5. Control Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):

100 M		4330-lgb		Filed 06/24/25 E Pg 13 of 16	ntered 06/24/25 22:30:4	8 Exhibit 2		
1	oki	principal Prod No Product	luct Type:					
		Other Product	t Types:					
	7.	Describe the provided.)	allegations rela	ted to this regulatory ac	tion. (The information must	fit within the space		
diam's		VIOLATION O	F NASD RULES	2230 AND 2110				
	8.	Current statu	s ? C Pending	ÖOn Appeal	nal			
	9.	If on appeal,	regulatory actio	on appealed to: (SEC, S	RO, Federal or State Court) a	and Date Appeal Filed:		
	If F	inal or On Ap	ppeal, complet	te all items below. Fo	r Pending Actions, comple	ete Item 13 only.		
	10.	How was mat Decision	ter resolved:					
	11.	Resolution Da	ate (MM/DD/YY)	YY):				
		11/08/1963	⊕ Exact CE	xplanation				
		If not exact, p	provide explana	ition:				
	12.	Resolution [Detail:					
		A. Were any	of the following	Sanctions Ordered? (C	heck all appropriate items):			
		M. MANAGEM	ary/Fine		Amount: \$ 500.00			
			ation/Expulsion	on/Denial	Disgorgement/Rest	titution		
		™ Censu	re		Cease and Desist/I	njunction		
		□Bar			Suspension			
		B. Other San	ctions Ordered:					
	C. Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against <i>applicant</i> or <i>control affiliate</i> , date paid and if any portion of penalty was waived: FINED IN THE AMOUNT OF \$500 AND ASSESSED COSTS OF THE PROCEEDING IN THE AMOUNT OF \$60.65. THE FINE AND COSTS OF THE PROCEEDINGS WERE PAID IN FULL IN NOVEMBER 1963.							
	13.	terms, conditi	ions and dates.	(The information must	ion status and (or) dispositic fit within the space provided WAS LIMITED TO A TECHNI	.)		
	Thic	Disclosure Re	enorting Page (C	ORP BD) is an CINITI	AL OR	ose used to report details		
	for a	affirmative res		s 11C, 11D, 11E, 11F		ise used to report details		
	J.10	italii(5) b	g . 50ponde	Regulator	y Action			
	r	10(1)	***		-	145/3		
		l1C(1)		• -		11E(3)		
	11	l1C(2)	1.1	.D(1)	□11D(5)	□11E(4)		

1 0 ₁9433 0-lgb	Doc 331 <u>-2</u> 115(16)d	06/24/25 Pg 14 of	Entered 196/24	4/25 22:30:48 11 Exhibit 2
11C(4)	11D(3)	1 g ± + 01	☑11E(2)	□11G
	DRP for each event or <i>pr</i> y using one DRP. File with			ling may be reported for more than one
DRP to report d		e event. <mark>I</mark> f an		.C, 11D, 11E, 11F or 11G. Use only one to actions by more than one regulator,
	irement that documents t accepted as disclosure in			proceeding. Should they be provided, ns on this DRP.
complete Part I affiliate's approthrough the CR	of the <i>applicant's</i> approp priate DRP (BD) or DRP (D, provide complete ansv	oriate DRP (BI U4). If a <i>cons</i> vers to all the	D). Details of the trol affiliate is an titems on the app	the CRD, such <i>control affiliate</i> need only event must be submitted on the <i>control</i> individual or organization <u>not</u> registered <i>plicant's</i> appropriate DRP (BD). The stion to update its CRD records.
PART I		i		
A. The person(s	s) or entity(ies) for whom	this DRP is b	eing filed is (are)	:
• The <i>App</i>	licant			
C Applicat	nt and one or more <i>con</i>	itrol affiliate	es	
் One or i	more <i>control affiliates</i>			
individuals, L If the <i>control</i>	ast name, First name, Mi	iddle name). h the CRD, pi		the control affiliate below (for umber. If not, indicate "non-registered"
B. If the control U4) or BD D must be pro	with the BD. of affiliate is registered the BP to the CRD System for its production of the CRD system.	rough the CR	D, has the <i>contro</i>	he control affiliate(s) are no longer I affiliate submitted a DRP (with Form Yes," no other information on this DRP
C Yes 🤨 I	No		enconnote from 1990 18 19 -101 19-10-1 19-10-10-10-10-10-10-10-10-10-10-10-10-10-	
NOTE: The records.	completion of this form d	oes <u>not</u> reliev	e the <i>control affii</i>	liate of its obligation to update its CRD
PART II				
1. Regulatory /	Action initiated by:			
(Full name o	Other Federal State of regulator, foreign finan ASSOCIATION OF SECURI	cial regulator	y <i>authority</i> , feder	al, state, or <i>SRO</i>)
Principal Sar Other Other Sancti				
FINE				
3. Date Initiate	ed (MM/DD/YYYY):			
11/22/1974	C Exact © Explanati	on		

	BD - BANKRUPTCY DRP						
	No I	Information Filed					
	BD - CIV	VIL JUDICIAL DRP					
l	anni dalla distributura di Albania di Santa di Albania di Santa di Santa di Santa di Santa di Santa di Santa di						
***************************************	terms, conditions and dates. (The information	n must fit within the space provided.)					
	3. Provide a brief summary of details related to t	the action status and (or) disposition and include relevant					
To the second se	applicant or control affiliate, date paid and FINE IN THE AMOUNT OF \$25.00. NO OTH COMPLAINT.	ER INFORMATION IS AVAILABLE DUE TO THE AGE OF THE					
	affected (General Securities Principal, Fina exam/retraining was a condition of the sar of exam required and whether condition har restitution, disgorgement or monetary com	Incial Operations Principal, etc.). If requalification by nection, provide length of time given to requalify/retrain, type as been satisfied. If disposition resulted in a fine, penalty, npensation, provide total amount, portion levied against					
Water and the second se		barred, provide duration including start date and capacities					
	B. Other Sanctions Ordered:						
OCH COMPANY OF THE	□Bar	Suspension					
	☐Revocation/Expulsion/Denial ☐Censure	☐Disgorgement/Restitution ☐Cease and Desist/Injunction					
	Monetary/Fine	· Nove					
	A. Were any of the following Sanctions Order	ed? (Check all appropriate items): Amount: \$ 25.00					
1	2. Resolution Detail:	ad2 (Chack all appropriate items):					
000000000000000000000000000000000000000							
VA WATER CONTROLLER	If not exact, provide explanation:						
	11/19/1974 © Exact C Explanation						
1	1. Resolution Date (MM/DD/YYYY):						
1	How was matter resolved: Decision						
I1	Final or On Appeal, complete all items belo	w. For Pending Actions, complete Item 13 only.					
9	. If on appeal, regulatory action appealed to: (S	SEC, SRO, Federal or State Court) and Date Appeal Filed:					
8	Current status ? Pending On Appear	· · · · · · · · · · · · · · · · · · ·					
•		0 /102 01 1112 00111 E 121111					
	provided.) INFORMATION NO LONGER AVAILABLE DUE TO						
7	. Describe the allegations related to this regulat	cory action. (The information must fit within the space					
	Other Product Types:						
6	Principal Product Type: No Product						
5	. Control Affiliate Employing Firm when activity	occurred which led to the regulatory action (if applicable):					
Ĭ	N-NV-86						
	Docket/Case Number:						
	INFORMATION NO LONGER AVAILABLE POETS	25 Entered 06/24/25 22:30:48 Exhibit 2 SAGEOF THE COMPLAINT.					

No Information Filed

BD - JUDGMENT LIEN DRP

No Information Filed

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