

The D&O Diary

The List: Madoff Investor and “Feeder Fund” Litigation

Updated: **July 22, 2009**

Table I: Federal Securities Class Action Litigation

(Current Number of Separate Actions: 19)

(Multiple Interrelated Lawsuits Listed in Table IV, below)

Date	Court	Defendants/Claimants	Link	D&O Diary Post
12/12/08	E.D.N.Y.	Bernard Madoff; Bernard Madoff L. Madoff Investment Securities/Irwin Kellner on behalf of all persons who purchased securities from Madoff or BMIS.	Here	Here
12/15/08	C.D. Cal.	The Brighton Company; Stanley Chais; Bernard Madoff; Bernard L. Madoff Investment Securities/ Michael Chaleff , on behalf of all investors who invested capital through Chais and Brighton and all investors who invested capital through Madoff and BMIS.	Here	Here
12/16/08	S.D.N.Y.	Ascot Partners, L.P.; J. Ezra Merkin; BDO Seidman/New York Law School on behalf investors of Ascot limited partnership interests	Here	Here
12/16/08	S.D.N.Y.	Gabriel Capital, L.P.; J. Ezra Merkin; BDO Seidman/ Scott Berrie on behalf of all persons who invested in Gabriel limited partnership interests	Here	Here
12/22/08	S.D.N.Y.	Tremont Group Holdings; Oppenheimer Acquisition Corporation; Massachusetts Mutual Life Insurance Company; Ernst & Young LLP/Yvette Finkelstein , on behalf of capital investors in American Masters Broad Prime Market Fund, L.P.	Here	Here
12/23/08	S.D.N.Y.	Family Management Corporation; Seymour Zises; Andrea Tessler; Andover Associates LLC; Beacon Associates LLC; Beacon Associates LLC; Beacon Associates Mangement Corp.; Beacon/Andover Group; Maxam Absolute Return Fund L.P.; Maxam Capital Management LLC; Fulvio & Associates, LLP/David Newman and others on behalf of investors in FM Low Volatility Fund L.P	Here	Here
12/23/08	S.D.N.Y.	Tremont Group Holdings; Tremont Partners Inc.; Rye Investment Management; Oppenheimer Acquisition Corporation; Oppenheimer Funds Inc.; Massachusetts Mutual Life Insurance Company/Richard Peskin on behalf of investors in Spectrum Select L.P. {For	Here	Here

		additional lawsuits against related defendants/parties, see Table IV below }		
12/30/08	S.D.N.Y.	Tremont Market Neutral Fund L.P.; Tremont Group Holdings, Inc. Ernst & Young LLP/Group Defined Pension Plan & Trust	Here	
1/9/09	S.D.N.Y.	Fairfield Greenwich Group; Fairfield Greenwich Limited, Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Walter M. Noel Jr. and other individual defendants/ Pacific West Health Medical Center Inc. Employees Retirement Trust on behalf of all persons who owned shares of Fairfield Sentry (For additional lawsuits against related parties please see below)	Here	
1/12/09	S.D.N.Y.	Herald USA Fund; Herald Luxemburg Fund; Primeo Select Fund; Medici Bank; Sonja Kohn; Perter Schelhauer; Bank Austria Creditanstalt; Unicredit S.A.; Pioneer Alternative Management; Ernst & Young L.P./Repex Ventures on behalf of all persons who invested in Herald USA Fund Herald Luxemburg Fund; and Primeo Select Fund and Thema International Funds	Here	Here
1/26/09	S.D.Fla.	Banco Santander S.A.; Banco Santander International; Optimal Investment Services S.A.; Pricewaterhouse Coopers; HSBC Securities Services (Ireland) Ltd.; individual directors and offices of Optimal Investment and Optimal Fund/Inversiones Mar Ocava Limitada on behalf of all persons who owned shares of Optimal Strategic US Equity Ltd pm December 10, 2008 or who purchased Optimal Strategic US Equity Ltd. shares between January 27, 2004 and December 10, 2008	Here	Here
1/27/09	S.D.N.Y.	Beacon Associate Management Corp.; Joel Danziger; Harris Markhoff; Ivy Asset Management Corp.; The Bank of New York Mellon Corporation; Friedberg Smith & Co.,PC/ John and Phyllis Cacoulidis as Trustees of Grand Metro Builders of NY Corp. Defined Benefit Plan, on behalf of all persons who invested in Beacon Associates LLC I between August 9, 2004 and the present	Here	
2/19/09	S.D.N.Y.	FM Multi-Strategy Investment Fund L.P.; Family Management Corporation; Seymour Zises; Andres Tessler and Fulvio and Associates/ Wolff Living Trust on behalf of all persons who bought limited partnership interests of the FM Multi-Strategy Investment Fund, L.P	Here	
4/7/09	S.D.N.Y.	Austin Capital Management Ltd.; individual defendants; Rothstein Kass & Company P.L.L.C.; Rothstein Kass & Co. (Cayman)/Construction Industry and Laborers Joint Pension Trust and Plumbers and Pipefitters	Here	

		<i>Local 525 Pension Plan on behalf of all persons who held interests in the Austin funds and whose interests were invested with Madoff, with a subclass of employee benefit plan which through their fiduciaries that Austin Capital to manage investments and whose funds were invested with Madoff</i>		
4/20/09	S.D.N.Y.	J.P. Jeanneret Associates Inc.; John P. Jeanneret ; Paul L. Perry ; Ivy Asset Management Corporation ; Bank of New York Mellon Corporation ; Margolin, Winer & Evens LLP/Local 73 Annuity Fund and Local 73 Retirement Fund on behalf of persons who invested in the Income-Plus Investment Fund between January 1, 1999 and the present.	Here	
4/20/09	S.D.N.Y.	Meridian Diversified Fund Management, LLC; Meridan Capital Partners, Inc.; individual defendants/Pension Trust Fund for Operation Engineers on behalf of all investors who acquired shares in Meridian Capital Partners fund or hedge funds managed by Meridian Diversified Funds between January 2, 2008 and December 11, 2008	Here	
5/7/09	S.D.N.Y.	Ariel Fund, Ltd.; Gabriel Capital Corporation; J. Ezra Merkin; Fortis Bank (Cayman) Ltd.; Fortis Prime Solutions (Cayman) Ltd.; Fortis Bank; Fortis Prime Solutions (USA) LLC; BDO Tortuga; BDO International/Jacob E Finklestein CGM IRA Rollover Custodian on behalf of all persons that invested in the funds.	Here	
5/29/09	M.D. Fla.	JML Portfolio Management Ltd.; Swiss Life Holding AG; Nomura Holdings, Inc./Jeffrey S. Araj M.D. on behalf of all persons who owned the Nomura All Weather Fund on December 10, 2008 or who were sold variable annuity policies of Swiss Life through JML which invested in the Nomura All Weather Fund from January 3, 2006 to December 10, 2008	Here	
6/5/09	S.D. Fla.	Collins Capital Low Volatility Performance Fund II, Ltd.; Collins Capital Low Volatility Performance Fund L.P., Collins Capital Investments, LLC; individual defendants/West Palm Beach Police Pension Fund, on behalf of all shareholders of Collins Capital Low Volatility Performance Fund II, Ltd. between June 1, 2007 and December 11, 2008	Here	

Table II: State Court Litigation

Date	Court	Defendants/Claimants	Link	D&O Diary Post
12/16/08	Cal. Sup. Ct.	Morton D. Kurzrok/ Richard H. Gordon {Note: Removed to C.D.Cal. on February 12, 2009, Civil	Here	

		Action No. 09-cv-1060}		
12/19/08	N.Y. Sup. Ct.	Fairfield Greenwich Group; Fairfield Greenwich Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Walter M. Noel, Jr. and other individuals/ Pasha and Julia Anwar on behalf of investors in Greenwich Sentry L.P. {NOTE: This case was removed to federal court and consolidated with other federal court Fairfield Greenwich litigation, see consolidation order here }	Here	Here
12/23/08	N.Y. Sup. Ct.	Gabriel Capital; J. Ezra Merkin; Ariel Fund/New York University	Here	Here
12/24/08	Cal. Sup. Ct.	Stanley Chais/ Eric Roth as Trustee for Vanessa Productions Ltd. Profit Sharing Plan NOTE: Removed to federal court (C.D. Cal) on February 27, 2009, Civil Action No. 2:09cv1434.	Here	
12/31/08	Cal Sup. Ct.	Robert Schulman and other individual defendants/ Tremont Parnters, Inc.; Tremont Group Holdings, Inc; Rye Select Broad Market Fund f/k/a American Masters Broad Market Prime Fund L.P.; Massachusetts Mutual Life Insurance Co.; Oppenheimer Acquisition Corporation; MassMutual Holding Co.; Citibank N.A./White Trust Dated May 3, 2002 and Rigdon O. Dees III {Note: This case was removed to the C.D. Cal on January 30, 2009, and a separate entry on the removed case appears below in Table IV}	Here	
2/3/09	N.Y. Sup. Ct.	Laura Blank/ Stephen Simkin	Here	Here
2/4/09	N.Y. Sup.Ct.	Tremont Partners, Inc.; Tremont Group Holdings, Inc.; Rye Investment Management; KPMG LLP; Individual Directors and Officers/Rye Select Broad Market XL Fund, L.P., Nominal Defendant/2005 Tomchin Family Charitable Trust, derivatively on behalf of Rye Select Broad Market XL Fund, L.P.	Here	
2/5/09	N.Y. Sup. Ct.	Tremont Partners, Inc. ; Tremont Group Holdings, Inc.; Tremont Capital Management, Inc.; KPMG LLP; KPMG International; Frank Dipascali; Andrew Madoff; Mark Madoff; Peter Madoff; Ruth Madoff/ Rye Select Broad Market Prime Fund L.P., Nominal Defendant/ Jay Wexler, derivatively on behalf of Rye Select Broad Market Prime Fund, L.P.	Here	
2/5/09	N.Y. Sup. Ct.	Friehling & Horowitz, P.C.; Andrew Madoff; Mark Madoff; Peter Madoff; Ruth Madoff; Frank DiPascali; Frank Avellino/Daniel Ryan and Theresa Ryan, individually and on behalf of the Lawrence J. Ryan By-pass Trust	Here	
2/13/09	Cal. Sup. Ct.	The Lambeth Company; Stanley Chais/Bottlebrush Investments L.P.	Here	
2/13/09	Cal. Sup.	Stanley Chais/ CMG, Ltd. and The Brighton	Here	

	Ct.	Company, Nominal Defendants/ Daphne Brogdon on behalf of all persons who as of December 12, 2008 had capital invested or indirectly with Defendant Stanley Chais		
2/13/09	N.Y. Sup. Ct.	Fairfield Greenwich Group; Fairfield Greenwich Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Globeop Financial Services LLC; Citgo Fund Services (Europe)BV; Citgo (Canada) Inc.; individual directors and officers; PricewaterhouseCoopers, LLC; Pricewaterhouse Coopers Accountants NV/ Greenwich Sentry L.P., Nominal Defendant/ David Ferber SEP IRA {NOTE: This action was removed to the Southern District of New York, Civil Action No. 1:09-cv-02366, here }	Here	
2/17/09	N.Y. Sup. Ct.	Fairfield Greenwich Group; Fairfield Greenwich (Bermuda) Ltd; Fairfield Greenwich Advisors LLC; Globeop Financial Services; Citgo Fund Services (Europe)BV; Citgo (Canada) Inc.; individual directors and officers; PricewaterhouseCoopers LLP/Greenwich Sentry Partners, L.P., Nominal Defendant/ Frank Pierce and Frank Pierce IRA	Here	
2/25/09	Conn. Sup. Ct.	NEPC LLC; KPMG LLP/ Retirement Program for Employees of the Town of Fairfield, Connecticut {NOTE: This action was removed to the District of Connecticut on March 20, 2009, Civil Action No. 3:09-cv-506.	Here	
2/26/09	N.Y. Sup. Ct.	Application of J. Ezra Merkin and Gabriel Capital Corporation against The Calibre Fund LLC (Order to Show Cause Why Permanent Arbitration Stay Should Not Be Entered)	Here	
2/27/09	Cal. Sup. Ct.	Brighton Investments; Stanley Chais/ Leghorn Investments	Here	
3/10/09	N.Y.Sup. Ct.	Rye Investment Management; Tremont Partners, Inc.; Tremont Group Holdings; KPMG LLP; Individual defendants; Rye Select Broad Market XL Fund L.P., Nominal Defendant/Securion I L.P.	Here	
3/10/09	Fla. Circ. Ct.	Paul J. Koningsberg; Koningsberg, Wolf & Co./Steven E. Leber as Trustee of the Steven E. Leber Charitable Remainder Unitrust {Note: On April 20, 2009, case removed to Southern District of Florida, Case No. 09-80593}	Here	
3/13/09	Cal. Sup. Ct.	Crescent Securities; Frank X. Mantovani; Halpern & Mantovani; The Lambeth Company; Stanley Chais/Helen Epstein Living Trust	Here	
3/17/09	Florida Cir. Ct.	Westport National Bank; Robert L. Silverman; PSCC Services; PSCC, Inc./Richard Abramowitz; Howard Pomerantz as Trustees for the Abramowitz & Pomerantz, PA Retirements Plan; Robin Abramowitz, IRA; Howard Pomerantz	Here	

		<i>IRA; Wendy Sager Pomerantz IRA</i>		
3/19/09	N.J. Sup. Ct.	Fiserv Investment Support Services; Fiserv Inc.; First Trust Corporation; Retirement Accounts, Inc.; Fiserv Trust Company; NTC & Co.; TD Ameritrade Trust Company/ Stephen Squires on behalf of all persons whose IRA investments in Madoff were held by Fiserv {Note: On 4/24/09, this action was removed to D.N.J. Civil Action No. 09-cv-01960}	Here	
3/24/09	Cal. Sup. Ct.	Morton D. Kurzrok/Dichter-Mad Family Parnters {Note: On May 4, 2009, case removed to C.D.Cal. Civil Action No. 09-cv-3099}	Here	
3/24/09	Sup. Ct. N.Y.	Beacon Associates Management Corp.; Ivy Asset Management Corp.; Ivy Asset Management LLC; Friedberg, Smith & Co. P.C.; Joel Danziger; Harris Markhoff/Beacon Associate LLC II Nominal Defendant/Joel Sacher and Susan Sacher	Here	
3/30/09	Conn. Sup. Ct.	Bernard L. Madoff; Tremont Partners, Inc.; Tremont Group Holdings, Inc.; Oppenheimer Acquisition Corp.; Maxam Capital Management LLC; Maxam Capital GP LLC; Maxam Capital Management Limited; individual defendants; Peter B. Madoff; Ruth Madoff; Mark D. Madoff; Andrew H. Madoff/ Retirement Program for Employees of the Town Of Fairfield; Retirement Program for Police Officers and Firemen of the Town of Fairfield; Town of Fairfield	Here	
4/1/09	N.Y. Sup. Ct.	Andover Associates Management Corp.; Ivy Asset Management Corp.; Ivy Asset Management LLC; Citrin Cooperman & Co. LLP; Margolin Winer Evens LLP; Joel Danziger; Harris Markoff/ Andover Associates LLC I Nominal Defendant/ Charles J. Hecht	Here	
4/1/09	Mass. Sup. Ct.	Rye Select Broad Market Prime Fund L.P.; Tremont Partners, Inc.; Tremont Group Holdings, Inc.; Oppenheimer Acquisition Corp.; Massmutal Holdings LLC; Massachusetts Mutual Life Insurance Company; individual defendants/Family Swimmers Limited Partnership on behalf of all investors in Rye Select Broad Market Prime Fund L.P Note: On May 13, 2009, this action was removed to D. Mass (Civil Action No. 09-10784)	Here	
4/6/09	N.Y. Sup. Ct.	J. Ezra Merkin; Gabriel Capital Corporation; BDO Seidman LLP; BDO Tortuga f/k/a BDO Cayman Islands/ CRT Investments, Ltd., Mortimer Zuckerman	Here	
4/6/09	Fla. Cir. Ct.	American Express Bank Ltd. d/b/a Standard Chartered Private Bank a/k/a Standard Chartered Bank International (Americas) Limited; Standard Chartered Bank; individual defendants; Fairfield Greenwich Group;	Here	

		Fairfield Greenwich Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; individual defendants; PricewaterhouseCoopers LLP; Citgo Fund Services (Europe) B.V./Headway Investment Corporation {Note: On May 22, 2009 this case was removed to, the United States District Court for the Southern District of Florida; Civil Action No. 1:09-cv-21395}.		
4/14/09	Mass. Super. Ct.	Rye Select Broad Market XL Fund, L.P.; Tremont Partners, Inc.; Tremont Group Holdings, Inc.; Oppenheimer Acquisition Corp.; Massmutual Holdings LLC; Massachusetts Mutual Life Insurance Company; BNY Alternative Investment Services; Bank of New York Mellon; individual defendants/ Lawrence J. Rothschild on behalf of investors in the Rye Select Broad Market XL Fund L.P. during the class period {Note: This action was removed to the District of Massachusetts on May 22, 2009, refer here }	Here	
4/30/09	Del. Chanc. Ct.	Joanne Olian; Estate of Howard Olian; Wintex Mill Inc. (Nominal Defendant)/Lazy River Investment Company	Here	
5/5/09	N.Y. Sup. Ct.	Harmony Partners Ltd.; Harmony Services, Inc.; Harmony Services LLC; individual defendants/ Max Goldweber	Here	
5/7/09	Fla. Cir. Ct.	Tremont Group Holdings; Tremont Partners, Inc.; Rye Select Broad Market Fund, L.P.; Select Broad Market Prime Fund L.P.; Select Broad Market XI Fund, L.P.; KPMG LLP/Robert Cocchi; Penni Ellen Fromm; PFF Associates, Inc.; Brian Gaines; John Johnson; Dr. David Schwarzschild; Dr. Herbert Silverberg; John Silverberg; Dr. Jerry Weiss; Donna Weiss; the Norman Shulevitz Foundation, Inc.; RM Management LLC; Sande Wische; Carol Wische; Paula Zitrin; Dr. Jaron Zitrin; Rachel Zitrin; Dr. Roger Zitrin	Here	
5/12/09	N.M. Dist. Ct.	Austin Capital Management/State of New Mexico ex. rel. National Education Association of New Mexico on behalf of the Educational Retirement Board and the State Investment Council	Here	
5/13/09	Cal. Sup. Ct.	Stanley Chais; The Lambeth Company; Francis X. Montovani; Halpern & Montovani; Crescent Securities, Nominal Defendant/Douglas Hall as Co-Trustee of Vivian H. Hall IRA and derivatively on behalf of Crescent Securities	Here	
5/13/09	Cal. Sup. Ct.	Stanley Chais; The Popham Company; Francis X. Montovani; Halpern & Montovani; Marloma Securities, Nominal Defendant/Stephen Heimoff derivatively on behalf of Marloma Securities	Here	

5/15/09	N.Y. Sup.Ct.	Kingate Management Limited; PricewaterhouseCoopers Bermuda; Pricewaterhouse Coopers International Limited; Citi Hedge Fund Services, Limited; individual defendants; Kingate Global Fund Limited /John Bruhl,derivatively on behalf of Kingate Global Fund Limited	Here	
5/15/09	N.Y. Sup. Ct.	Fairfield Greenwich Group; Fairfield Greenwich Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Fairfield Risk Services Ltd.; CITGO Fund Services (Europe) BV; CITGO Bank Netherland N.V., Dublin Branch; CITGO Global Custody N.V.; individual defendants; PricewaterhouseCoopers, LLP; PricewaterhouseCoopers Accountants N.V.; PricewaterhouseCoopers International Limited; Fairfield Sentry Limited Nominal Defendant /Morning Mist Holdings Limited and Miguel Lomeli derivatively on behalf of Fairfield Sentry Limited {Note: On May 28, 2009, this action was removed to the S.D.N.Y., Civil Action No. 1:09-cv-5012}	Here	
5/29/09	N.Y. Sup. Ct.	Fairfield Greenwich Group, Fairfield Greenwich (Bermuda) Limited; Fairfield Greenwich Advisors LLC; Fairfield International Managers, Inc.; individual defendants/Fairfield Sentry Limited	Here	
5/27/09	Mass. Superior Ct.	Rye Select Marked Fund L.P.; Tremont Partners, Inc. ; Tremont Group Holdings, Inc.; Oppenheimer Acquisition Corp.; Massmutual Holding LLC; Massachusetts Mutual Life Insurance Company; individual defendants/ Arthur S. Simons on behalf of all persons who invested in Rye Select Broad Market Funds {Note: On July 2, 2009, this action was removed to D. Mass. see linked document}	Here	
6/5/09	N.Y. Sup. Ct.	J. Ezra Merkin; Gabriel Capital Corp.; BDO Seidman LLP/ Vadja Family Trust, derivatively on behalf o Ascot Partners L.P. and Gabriel Capital L.P.	Here	
6/15/09	N.Y. Sup. Ct.	BDO Seidman LLP; BDO Tortuga f/k/a BDO Cayman Islands; BDO Global Coordination B.V/Bart M. Schwartz as receiver for Ariel Fund Limited and Gabriel Capital, L.P.	Here	
6/16/09	N.M. Dist. Court	Austin Capital Management; Austin Capital Management GP Corporation; Victory Capital Management, Inc.; KeyCorp; Berean Capital; Tremont Partners, Inc.; Tremont Capital Management; Tremont Group Holdings, Inc.; Oppenheimer Funds, Inc; individual defendants/State of New Mexicao ex. rel. Frand Foy and Suzanne Foy	Here	
7/2/09	N.Y. Sup.	Peerstate Equity Fund L.P., Robert N. Getz	Here	

	Ct.	LLC, Robert Getz, Stephen Getz/Judith W. Bailey Individually and as Executor of the Estate of Richard Bailey and as Successor Executor to the Estate of Suzanne Bailey		
7/8/09	Ct. Superior Court	Connecticut Community Bank, N.A., owner of Westport National Bank/Ben R. Backus as Trustee of the W.R. Johnson Co. Pension and Profit-Sharing Plan, et al.,	Here	
7/16/09	Md. Circ. Ct.	Jack Kay; Kay Management Inc.; Kay Investment Group LLC; individual defendants/George Wasserman and Janice Wasserman; Goldstein Family Limited Liability Company as general partner and on behalf of various entities	Here	

Table III: Other Proceeding

(Please note that additional actions duplicative of items listed in this table follow in Table IV, below)

Date	Forum	Defendants/Claimants	Link	D&O Diary Post
12/11/08	S.D.N.Y.	Barnard L. Madoff and Bernard L. Madoff Investment Securities LLC/Securities and Exchange Commission	Here	
12/18/08	S.D.N.Y.	J. Ezra Merkin/The Calibre Fund (Application for Temporary Restraining Order)	Here	
12/22/08	S.E.C.	Securities and Exchange Commission/Phyllis Molchatsky (American Masters Broad Market Fund/ L.P.)	Here	
12/30/08	S.D.N.Y.	Anthony, Maria and Toni Sciremammno/Bernard L. Madoff	Here	
1/2/09	S.D.N.Y. (Bankruptcy Court)	Irving H. Picard, Trustee for the SIPA Liquidation of Bernard L. Madoff Investment Securities LLC and JP Morgan Chase Bank, N.A./ Rosenman Family LLC	Here	
1/7/09	S.D.N.Y. (Bankruptcy Court)	Irving H. Picard, Trustee (etc.) and J.P. Morgan Chase Bank/Hadleigh Holdings LLC.	Here	
1/12/09	S.D.N.Y. (Criminal Court)	United States v. Bernard L. Madoff/Order in Bail Proceeding/Notice of Appeal	Here/Here	
1/15/09	Luxembourg	UBS (Luxembourg) S.A.; Luxalpha SICA V/Oddo Asset Management S.A.	Here	
1/26/09	S.D.N.Y.	Citgo Group Limited; Citgo Fund Services (Europe) BV; PricewaterhouseCoopers LLP/ G. Phillip Stephenson as trustee for the Philip Stephenson Revocable Living Trust	Here	
1/30/09	Ct. Superior Court	McGladrey & Pullen LLP & Goldstein Golub Kessler LLP/Maxam Absolute Return Fund L.P.	Here	
2/11/09	Office of the Secretary of the Commonwealth (Massachusetts)	In the Matter of Cohmad Securities Corporation (Administrative Complaint and Ex Parte Motion for an Order Summarily Suspending Registration as a Broker-Dealer)	Here	Here
2/12/09	E. D. Pa.	Austin Capital Management Ltd./ Pension	Here	

		<i>Fund for Hospital and Health Care Employees –Philadelphia and Vicinity, on behalf of all employee benefits funds for whom Austin acted as investment manager and on whose behalf Austin invested plan assets in any Madoff-related investment during the period February 12, 2005 to the present.</i>		
2/13/09	D. Conn.	PSCC Services, Inc.; Westport National Bank; TD Banknorth N.A.; Dennis P. Clark; Robert L. Silverman/Stephen R. Levinson; Richard E. Layton; Dr. R. Layton P.A. 401(l) Plan, on behalf of persons who were beneficiaries of omnibus accounts at BMIS maintained in the name of Westport National Bank		
2/13/09	N.D. Fla.	Arthur Nadel; Scoop Management; Scoop Capital; Peg Nadel; Bernard L. Madoff; Bernard L. Madoff Investment Securities, et al./Jonathan Lee Riches d/b/a Ervin Antonio Lupoe {Pro Se Complaint}	Here	
2/24/09	D.N.J.	Peter Madoff/ The Lautenberg Foundation, Joshua S. Lautenberg, Ellen Lautenberg	Here	
3/16/08	E.D. Mich.	Britney Spears; Kevin Federline; Securities and Exchange Commission/Bernard L. Madoff d/b/a Jonathan Lee Riches a/k/a Gino Romano, Inc.	Here	
3/17/09	M.D.Fla.	Bernard Madoff/Gino Romano d/b/a Michael Scott Pesce	Here	
3/17/09	S.D.N.Y.	David G. Friebling/United States of America (Criminal Complaint)	Here	
3/18/09	S.D.N.Y.	Tremont Group Holdings, Inc.; Tremont Partners, Inc.; Rye Investment Management (a.k.a. Rye Investments, Inc.); Oppenheimer Acquisition Corporation; Oppenheimer Funds, Inc.; Massachusetts Mutual Life Insurance Company; individual defendants; KPMG LLP; Bank of New York Mellon Corporation; BNY Alternative Investment Services; Austin Capital Management; GP Corporation; NOMINAL DEFENDANTS: Rye Select Broad Market Fund LP; Rye Select Broad Market Prime Fund LP; Rye Select Broad Market Fund XL Fund LP; Austin Capital Safe Harbor ERISA Dedicated Fund Ltd.; Austin Capital Safe Harbor Master Account G.P./Laborers Local 17 Pension Plan and Daniel Jackson, derivatively and on behalf of all employee benefits plans that invested in Austin Safe Harbor Funds.	Here	
3/18/09	S.D.N.Y.	David G. Friebling; Friebling & Horowitz, CPA, P.C./ Securities and Exchange Commission	Here	
3/25/09	N.Y.Sup.Ct.	Peter B. Madoff/ Andrew Ross Samuels	Here	

4/1/09	Office of the Secretary of the Commonwealth (Massachusetts)	Fairfield Greenwich Advisors LLC; Fairfield Greenwich (Bermuda) Ltd./ <i>Enforcement Section of the Massachusetts Securities Division of the Office of the Secretary of the Commonwealth</i>	Here	Here
4/2/09	W.D.N.Y.	J.P Jeanneret Associates, Inc.; John P. Jenneret; Beacon Associates Management Corporation; Joel Danziger; Harris Markoff/Patrick Morin as Trustee of the Empire State Carpenters Pension Fund, Empire State Carpenters Annuity Fund and Empire State Carpenters Welfare Fun; James Willis as Trustee for Ironworkers Local No. 6 Pension Fund and Ironworkers Local No 6 Medical and S.U.B. Pay Plan; and Daniel McGraw and Theron Hogle as Trustees of the Engineers Joint Pension Fund Local Unions 17, et al., Engineers Joint S.U.B. Fund or Engineers Joint Training Fund, on behalf of all trustees of multi-employer pension plans for which defendants served as an investment manager or ERISA fiduciary and whose assets were invested in BMIS from April 30, 1991 to the present	Here	
4/6/09	Sup Ct. N.Y.	J. Ezra Merkin; Gabriel Capital Corporation/ <i>The People of the State of New York by Andrew M. Cuomo</i>	Here	Here
4/9/09	S.D.N.Y (Bankr.)	Vizcaya Partners Limited; Banque Jacob Safra (Gibraltar) Ltd. a/k/a Bank J. Safra Limited/Irving H. Picard, Trustee for the Liquidation of Bernard L Madoff Investment Securities LLC {In re Bernard L. Madoff Investment Securities LLC}	Here	
4/13/09	S.D.N.Y. Bankruptcy Court	In re Bernard L. Madoff (Involuntary Bankruptcy Petition)	Here	
4/14/09	S. D.Fla.	Madoff Securities International Ltd. (Chapter 15 Bankruptcy Proceeding)	Here	
4/14/09	S.D.Fla.	Peter B. Madoff/Stephen John Akers, Mark Richard Byers, and Andrew Laurence Hosking as Joint Provisional Liquidators of Madoff Securities International Limited {In re Madoff Securities International Limited}	Here	
4/17/09	S.D.N.Y.	Alvin J. Delaire, Jr./Martin Schulman M.D.; Martin Schulman Individual Retirement Account; Suzanne M. Schulman	Here	
4/17/09	S.D.N.Y. (Bankr.)	Kingate Global Fund, Ltd.; Kingate Euro Fund, Ltd.; Bank of Bermuda, Ltd./Irving H. Picard, Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}	Here	
4/23/09	S.D.N.Y	JP Morgan Chase & Co.; JP Morgan Chase Bank NA/MLSMK Investments Company	Here	
5/1/09	S.D.N.Y.	Stanley Chais, individually and as General	Here	

	(Bankr.)	Partner in Defendants The Brighton Group; The Lambeth Company; and the Popham Company, and as trustee for Chais children's trusts/ <i>Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC (In re: Bernard L. Madoff Investment Securities LLC)</i>		
5/1/09	W.D.Tex	The Board of Trustees of the Texas Ironworkers' Fund; The Texas Ironworkers' Pension Fund/ <i>Austin Capital Managemen, Ltd.</i>	Here	
5/4/09	D.N.M.	Bank of America; Merrill Lynch & Co.; others/ <i>"Bernard Madoff" d/b/a Jonathan Lee Riches a/k/a/ Jonathan L. Riches Investment Securities LLC (Pro Se Complaint)</i>	Here	
5/6/09	S.D.N.Y (Bankr.)	J. Ezra Merkin; Gabriel Capital L.P.; Ariel Fund Ltd.; Ascot Partners L.P.; Gabriel Capital Corporation/ <i>Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC (In re: Bernard L. Madoff Investment Securities LLC)</i>	Here	
5/7/09	D. Conn.	Bank of America, N.A./ <i>Maxam Capital Management LLC and Maxam Absolute Return Fund L.P.</i>	Here	
5/7/09	S.D.N.Y.	Roman Igolnikov; Sheldon S. Gordon; Matthew Stadtmauer; Union Bancaire Privee Asset Management LLC; UBPI Holdings, Inc.; Daniel de Picciotto; Michael De Picciotto; Guy de Picciotto; Christophe Bernard/ <i>Andrea Barron on behalf of investors in the UBP fund</i>	Here	
5/8/09	S.D.N.Y.	Beacon Associates Management; individual defendants; Ivy Asset Management LLC; Beacon Associates LLC I and Beacon Associates LLC II/ <i>William C. Towsley et al Trustees of the I.B.E.W. Local 43 and Electral Contractors Welfare Fund; John S. Kogut et al as Trustees of the I.B.E.W. Local 43 and Electrical Contractors Welfare fund; David J. Henderson et al as Trustees and Participants of the Oswego County Laborers' Local 214 Pension Fund; Earl Hall et al as Trustees of the Oswego County Laborers' Local 214 Pension Fund, on behalf of all persons whose ERISA covered benefit plan assets were harmed as a result of imprudent investments in the Beacon Associates funds in investments managed by Bernard Madoff</i>	Here	
5/12/09	S.D.N.Y. (Bankr.)	Jeffrey M. Picower; Barbara Picower; Capital Growth Company; Favorite Funds; JA Primary Limited Partneship; JA Special Limited Partnership; other partnerships: The Picower Foundation; The Picower Institute for Medical Research/ <i>Irving H.</i>	Here	

		<i>Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}</i>		
5/12/09	S.D.N.Y. (Bankr.)	Harley International (Cayman) Ltd./ <i>Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}</i>	Here	
5/13/09	D.N.M.	J. Ezra Merkin; Bernard Madoff; Stanley Chais, others/ <i>“Irving Picard” d/b/a Jonathan Lee Riches (Pro Se Complaint)</i>	Here	
5/18/09	S.D.N.Y. (Bankr.)	Fairfield Sentry Limited; Greenwich Sentry L.P.; Greenwich Sentry Partners L.P./ <i>Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}</i>	Here	
5/27/09	D. Colo.	Fiserv, Inc.; Fiserv Trust Company Retirement Accounts, Inc.; NTC & Co. LLP; Trust Industrial Bank; Lincoln Trust Co.; Robert Beriault Holdings, Inc.; TD Ameritrade Online Holdings Corp.; TD Ameritrade Holding Corp./ <i>Max Rudman, Betty Smelin, Raanan Smelin, on behalf of all - persons who had self-directed IRAs with Fiserv that were invested in BMIS</i>	Here	
5/29/09	E.D.Pa.	Meridian Capital Partners, Inc.; Meridian Diversified Fund, Ltd.; Meridian Diversified Fund Management, Ltd.; William H. Lawrence; Ernst & Young LLP/R.W. Grand Lodge of Free & Accepted Masons of Pennsylvania	Here	
6/5/09	S.D.N.Y. (Bankr.)	Irving H. Picard/Mary Albanese; Brow Family Partnership; Laurence Kaye; Suzanne Kaye; Rose Less, on behalf all persons who were investors in Bernard L. Madoff Investment Securities LLC from inception until December 11, 2008 {In re: Bernard L. Madoff Investment Securities LLC} [Class Action for Declaratory Judgment]	Here	
6/5/09	S.D.N.Y.	Family Management Corporation; Seymour Zises; Andrea Tessler; Maxam Absolute Return Fund L.P.; Maxam Capital Mangement LLC; Beacon Associates LLC I; Beacon Associates Management Corp./ <i>John Ferrini; SEP F/B/O John Ferrini-Pershing LLC</i>	Here	
6/10/09	S.D.N.Y.	Bernard L. Madoff; Kingate Management Limited; Tremont (Bermuda) Limited; FIM Advisers LLP; CITI Hedge Fund Services Ltd. ; individual defendants/ <i>Criterion Capital Funds B.V./BBF Trust/ Wall Street Securities S.A.; Banca Arner, S.A./ Alvaro Castillo on behalf all share holders of Kingate</i>	Here	

		<i>Global Fund, Ltd and Kingate Euro Fund Ltd. as of December 11, 2008</i>		
6/10/09	S.D.N.Y. (Bankr.)	Irving H. Picard/Mary Albanese; <i>Brow Family Partnership; Laurence Kaye; Suzanne Kaye; Rose Less, on behalf all persons who were investors in Bernard L. Madoff Investment Securities LLC from inception until December 11, 2008 {In re: Bernard L. Madoff Investment Securities LLC} [Class Action for Declaratory Judgment]</i>	Here	
6/10/09	D. Colo.	First Trust Corporation Retirement Accounts, Inc.; Fiserv Trust Company; Trust Industrial Bank; Lincoln Trust Company; NTC & Co. LLP; TD Ameritrade Trust Company; TD Ameritrade Online Holding Corp.; Robert Beriault Holdings/William J. Cohen and Eleanor Cohen <i>on behalf of all persons who had self-directed IRAs with Fiserv that were invested with BMIS</i>	Here	
6/11/09	E.D. Pa.	Austin Capital Management, Ltd.; Austin Capital Management Gp Corp.; individual defendants; Victory Capital Management; KeyCorp/Board of Trustees, Steamfitters Local 449 Retirement Fund; Joseph M. Little and Regis R. Claus <i>guardians ad litem, on behalf of all employee benefit funds that named Austin Capital Management as investment manager and whose assets were invested with BMIS</i>	Here	
6/12/09	N.D. Ill.	Last Atlantis Partners LLC; Last Atlantis Capital Management; Irwin Berger; Stig Ostgaard/Robert C. Jenkins; Robert C. Jenkins Living Trust; Allen Hargest	Here	
6/12/09	S.D.Fla.	Standard Chartered Bank International (Americas) Limited; Standard Chartered Private Bank/Jose Antonio Pujals; Rosa Julieta A. DePujals, <i>on behalf of all defendants' customers who were charged Fairfield Fees between June 12, 2004 and December 23, 2008</i>	Here	
6/16/09	N.Y. Sup. Ct.	Mark Madoff; Andrew Madoff/Richard Stahl	Here	
6/16/09	N.Y. Sup. Ct.	Mark Madoff; Andrew Madoff/Reed Abend	Here	
6/22/09	S.D.N.Y.	Cohmad Securities Corporation; Maurice J. Cohn; Marcia B. Cohn; Robert M. Jaffee/Securities and Exchange Commission	Here	
6/22/09	S.D.N.Y.	Stanley Chais/Securities and Exchange Commissions	Here	
6/22/09	S.D.N.Y.	Cohmad Securities Corporation; Maurice J. Cohn; Marcia B. Cohn; Robert M. Jaffee; other individual defendants// Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}	Here	
6/22/09	M.D.Fla.	Irving H. Picard; FBI Special Agent John Sereno; Captain Richard Conklin; Anthony	Here	

		Tuccinardi; Paul Tuccinardi; Angelo Tuccinardi; Mario Tuccinardi; Tony Socci; Jennifer Telesco; Stamford Police Department; Hillsborough County Sheriff's Department; Tampa Police Department/Jonathan Lee Riches (pro se claimant) "a/k/a Bernard Madoff" [habeas corpus petition]		
6/25/09	E.D.Pa.	Austin Capital Management, Ltd.; Austin Capital Management Gp Corp.; individual defendants; Victory Capital Management; KeyCorp/Laborers' District Counsel of Western Pennsylvania Pension Fund; Philip Ameris and; John C. Busee as Trustees, and on behalf of all benefit plans that had named Austin Capital Management as investment manager	Here	
6/26/09	S.D.N.Y.	Safra National Bank of New York; Siam Capital Management Ltd.; Banque Jacob Safra (Gibraltar) Ltd.; PricewaterhouseCoopers Accounting Services Ltd.; individual defendants/SSH Holdings Group Ltd on behalf of persons acquiring shares of Zeus Partners Ltd between December 1, 2004 and December 11, 2008	Here	
6/30/09	S.D. Fla.	Horse Illustrated d/b/a Bow Tie Magazines, et al./"Bernard Madoff", Jonathan Lee Riches (pro se complaint)	Here	
7/1/09	Calif. Dept. of Corp.	Stanley Chais (Desist and Refrain Order)	Here	
7/2/09	S.D.N.Y.	Gabriel Capital L.P.; Ezra Merkin; BDO Seidman LLP/Croscill Inc., Florence Kahn, Weiberg Intervivos Trust; Douglas J. Kahn 2008 Family Trust; David Kahn 2008 Family Trust	Here	
7/2/09	S.D.N.Y.	Union Bancaire Privée; Union Bancaire Privée Asset Management LLC; UBPI Holdings, Inc.; individual defendants/Declan Farrell and Warren Pack on behalf of investors in Selectinvest Funds and other funds offered and managed by Union Bancaire Privée and its subsidiaries	Here	
7/8/09	N.Y. Sup. Ct.	Gerald McEvoy/The Guardian Life Insurance Company of America	Here	
7/13/09	S.D.Tex.	The Commonwealth of Antigua and Barbuda/ Joan Gale Frank; Jon A. Bell; Samuel Bukrinsky; Jaime Alexis Arroyo Bornstein; Peggy Roif Rothstain; Juan C. Olano and John Wade in his capacity as trustee of the Microchip ID Systems Inc. Retirement Plan on behalf of all persons who were customers of Stanford International Bank Ltd. [Note: This Stanford Financial Group case contains allegations that SIBL invested with	Here	

		BMIS]		
7/13/09	D. Colo.	Richard A. Guggenheimer; Cathleen A. Lieberman; Norma Shapiro/Trust Industrial Bank d/b/a Fiserv Investment Support Services and NTC & Co. (complaint for declaratory judgment and for stay of class arbitration brought by all persons who opened self-directed IRAs with Fiserv that were invested with BMIS)	Here	
7/14/09	S.D.N.Y.	Herald Fund SPC; HSBC Bank PLC; HSBC Securities Services/ Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}	Here	
7/15/09	S.D.N.Y.	Federal Insurance Company/Ann & Hope Inc.; Helen Realty Co.; Samuel N. Chase; Irwin Chase; Marjorie Chase Alpert Torgan	Here	
7/15/09	S.D.N.Y.	Alpha Prime Fund Limited; HSBC Bank PLC; HSBC Securities Services/ Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}	Here	
7/15/09	S.D.N.Y.	Thybo Asset Management Fund; Thybo Global Fund Limited; Thybo Return Fund Limited; Thybo Stabel Fund Ltd. / Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}	Here	
7/15/09	S.D.N.Y.	Primeo Fund; HSBC Bank PLC; HSBC Securities Services/ Irving H. Picard Trustee for the Liquidation of Bernard L. Madoff Investment Securities LLC {In re: Bernard L. Madoff Investment Securities LLC}	Here	
7/17/09	S.D.N.Y.	Anthony L.M. Inder Rieden; Dawn E. Davies; Euro-Dutch Management Ltd. ; Ernst & Young [Cayman Islands]; Ernst & Young [Bahamas]; Ernst & Young LLP; Harley International (Cayman) Ltd.; Fix Asset Management/Tradex Global Master Fund SPC Ltd. on behalf of all persons who owned shares of Santa Clara I Fund	Here	

Table IV: Additional Lawsuits Against Related Defendants

Date	Forum	Defendants/Claimants	Link	D&O Diary Post
12/22/08	S.D.N.Y.	Massachusetts Mutual Life Insurance Company; Oppenheimer Acquisition Corporation; Tremont Group Holdings, Inc.; Rye Investment Management Group; Harry Hodges; Rye Select Broad Market Prime Fund; Rye Select Broad Market Fund; Tremont	Link	

		Partner, Inc./Arthur Lange on behalf of all investors in the Rye Funds		
12/23/08	S.D.N.Y.	Rye Select Broad Market Fund, L.P.; Tremont Partners, Inc.; Tremont Group Holdings, Inc.; Rye Investment Management; individual directors and officers of Tremont/ Arthur Brainson IRA on behalf of limited partnership investors in Rye Select	Here	
1/9/09	S.D.N.Y.	Fairfield Greenwich Group; Fairfield Greenwich Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Walter M. Noel, Jr. and other individuals/ Pasha and Julia Anwar on behalf of investors in Greenwich Sentry L.P. {NOTE: This case was removed to federal court from N.Y. Sup. Ct. and consolidated with other federal court Fairfield Greenwich litigation, see consolidation order here}		
1/12/09	S.D.N.Y.	Fairfield Greenwich Group; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Limited; Fairfield Greenwich Advisors LLC; Fairfield Risk Services Ltd.; CITGO Bank Netherland N.V. Dublin Branch; CITGO Fund Services (Europe) B.V.; Walter Noel and other individuals/ Inter-American Trust, Elvira 1950 Trust, Carlos Gauch, Bonaire Limited on behalf of investors in the Fairfield Sentry Fund	Here	
1/20/2009	S.D.N.Y.	Argus International Life Bermuda Limited; Argus Group Holdings Limited; Massachusetts Mutual Life Insurance Co.; Oppenheimer Acquisition Corporation; Rye Investment Management; Rye Select Broad Market Fund L.P., Rye Select Broad Market Insurance Portfolio, LDC; Tremont [Bermuda] Limited; Tremont Capital Management Inc.; Tremont Group Holdings, Inc., Tremont International Insurance Limited; Tremont Partners, Inc./ Chateau Fiduciaire S.A. as Trustee of the Map Trust on behalf of all persons who purchased or held variable universal life insurance offered by Argus International Life Bermuda Limited f.k.a. Tremont International Life Insurance Limited from January 2003 to the Present	Here	
1/30/09	D.Mass.	Rye Select Broad Market Fund, L.P.; Tremont Partners Inc.; Tremont Group Holdings, Inc.; Oppenheimer Acquisition Corp.; MassMutual Holdings LLC; Massachusetts Mutual Life Insurance Company; individual officers and directors/ The William Kretschmar Revocable Trust and Inch of Gold on behalf of all investors in Rye Select Broad Market Fund, L.P.	Here	
1/30/09	C.D.Cal.	Robert Schulman and other individual defendants/ Tremont Parnters, Inc.; Tremont Group Holdings, Inc; Rye Select Broad Market	Here	

		Fund f/k/a American Masters Broad Market Prime Fund L.P.; Massachusetts Mutual Life Insurance Co.; Oppenheimer Acquisition Corporation; MassMutual Holding Co.; Citibank N.A./White Trust Dated May 3, 2002 and Rigdon O. Dees III {Note: This case was originally filed in the Superior Court for Los Angeles County and removed to federal court;, a separate entry on the removed case appears above in Table II}		
2/4/09	S.D.N.Y.	Banco Santander S.A.; Banco Santander International; Optimal Investment Services S.A.; PricewaterhouseCoopers; HSBC Securities Services (Ireland) Ltd.; HSBC Institutional Trust Services (Ireland) Ltd.; HSBC Bank USA, N.A.; individual directors and officers/ Serol Holding Corporation on behalf of all persons or entities who owned shares of Optimal Strategic U.S. Equity Ltd. on December 10, 2008	Here	Here
2/6/09	D. Mass.	Massachusetts Mutual Life Insurance Company; Mass Mutual Holding Company; Mass Mutual Holding Trust I; Oppenheimer Acquisition Corp; OppenheimerFunds, Inc.; individual directors and officers; Tremont Partners, Inc.; Tremont Group Holdings, Inc./Madelyn Haines and Paul Zamrowski on behalf of limited partners in Tremont Market Neutral Fund L.P. and Tremont Market Neutral Fund II, L.P.	Here	
2/6/09	S.D.N.Y.	Tremont Group Holdings, Inc.; Tremont Partners, Inc.; Rye Investment Management, Inc.; Oppenheimer Acquisition Corporation; Massachusetts Mutual Life Insurance Co.; Rye Select Broad Market Fund, L.P. f/k/a American Masters Broad Market Fund L.P.; Rye Select Broad Market Prime Fund L.P. f/k/a American Masters Broad Market Prime Fund L.P., Rye Select Broad Market XL Fund, L.P.; Ernst & Young LLP, and KPMG LLP/Eileen Silvers and Richard J. Bronstein on behalf of all persons who purchased limited partnership interests in Rye Select Broad Market Fund L.P., Rye Select Broad Market Prime Fund L.P. or the Rye Select Broad Market XL Fund L.P. between December 21, 2003 through December 21, 2008.	Here	
2/17/09	S.D.N.Y.	Tremont Group Holdings, Inc.; Rye Investment Management; Tremont Partners, Inc.; Robert Ivan Schulman; Rupert Andrew Allen; Cynthia J. Nicoll; Stephen Thomas Clayton; Oppenheimer Acquisition Corporation; MassMutual Holdings LLC; Massachusetts Mutual Life Insurance Company; Select Spectrum Partners LLC;	Here	

		Gary Busel; Ronald Pearson; KPMG LLP; and BDO Seidman LLP/John F. Keane Jr. Trustee on behalf of all investors who as of December 11, 2008 in Rye Select Broad Market Prime Fund, L.P; Rye Select Broad Market Fund L.P.; and Rye Select Broad Market XL Fund L.P.		
2/18/09	S.D.N.Y.	Argus Group Holdings Ltd.; Argus International Life Bermuda Ltd.; MassMutual Holding LLC; Massachusetts Mutual Life Insurance Company; Oppenheimer Acquisition Corp.; Rye Investment Management; Rye Select Broad Market Fund, L.P.; Rye Select Broad Market Insurance Portfolio LDC; Tremont (Bermuda) Ltd.; Tremont Capital Management; Tremont Group Holdings, Inc.; Tremont International Insurance Ltd.; Tremont Partners, Inc.; Ernst & Young LLP; KPMG, Ltd./ The Geoffrey Rabie Credit Shelter Trust, the Joanne Brenda Rabie Credit Shelter Trust on behalf of all persons that held policies issued by Tremont Insurance International or Argus International and managed by Tremont Capital Management or Rye, through December 10, 2008.	Here	
3/4/09	S.D.N.Y.	Ariel Fund, Ltd.; Gabriel Capital Corporation; J. Ezra Merkin; Fortis Bank (Cayman) Ltd.; Fortis Prime Solutions (Cayman) Ltd; Fortis Bank BDO Tortuga; BDO International/ Nephrology Associates Pension Plan on behalf of all investors in the Ariel Fund Limited who had not redeemed their interests as of December 11, 2009	Here	
3/5/09	N.D.Tex.	Irving Piccard; Bernard Madoff; Peter Madoff; Shana Madoff; Andrew Madoff; Banco Santander; Manuel Echevegría; Robert Jaffe; Cohmad Securities; Fairfield Greenwich Corp.; Optimal Investment Services; Rachel Piccoli; Gensee Capital Corp.; Pricewaterhouse Coopers; HSBC Holding PLC; Bank Medici/Emilo H. Chavez Jr., Chavez Esatate	Here	
3/5/09	S.D.N.Y.	Bernard L Madoff; Bank Medici; Sonja Kohn; Peter Scheithauer; Herald USA Fund; Herald Luxemburg Fund; Bank Austria Creditanstalt; Unicredit S.A.; Primeo Select Fund; Primeo Executive Fund; Pioneer Alternative Investment; Thema International Fund PLC; individual defendants; Ernst & Young SA; Ernst & Young Global Ltd.; HSBC Holdings Plc; HSBC Institutional Trust Services (Ireland) Ltd.; HSBC Securities Services (Ireland) Ltd.; HSBC Securities Services S.A.; PricewaterhouseCoopers Chartered Accountants; PricewaterhouseCoopers International Limited; Friebling &	Here	

		Horowitz/Horst Leonhardt on behalf of those who purchased investments in funds that were controlled or managed by Medici between January 12, 2004 and January 12, 2009		
3/11/09	S.D.N.Y.	Fairfield Sentry Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Limited; Fairfield Greenwich Group; PricewaterhouseCoopers; Jeffrey Tucker; Citco Fund Services [Europe] B.V.; Citco Global Custody N.V.; Andres Piedrahita; Jan Naess; Peter P. Schmid; Amit Vijahyvergiya; Walter M. Noel, Jr./The Knight Services Holdings Limited on behalf of all others similarly situated	Here	
3/10/09	S.D.N.Y.	Fairfield Greenwich Group; Fairfield Greenwich Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Fairfield Risk Services Ltd.; Walter Noel, Jr.; Jeffrey H. Tucker; Andres Piedrahita/Shimon Laor, Michael Pompan, Mandes Investment & Enterprice Ltd. on behalf of all shareholders of Fairfield Sentry Ltd. as of December 11, 2008.	Here	
3/11/09	W.D.Wash.	Tremont Group Holdings, Inc.; Tremont Partners, Inc.; Rye Investment Management (a.k.a. Rye Investments Inc.); Oppenheimer Acquisition Corporation; Oppenheimer Funds, Inc.; Massachusetts Mutual Life Insurance Company; individual defendants; KPMG LLP; Bank of New York; Mellon Corporation; BNY Alternative Investment Services, Inc.; Futureselect Portfolio Management Services, Inc.; NOMINAL DEFENDANTS: Futureselect Prime Advisor II, LLC; Rye Select Broad Market Fund LP; Rye Select Broad Market Prime Fund LP; Rye Select Broad Market XL Fund LP/John Dennis {NOTE: This case was voluntarily dismissed on 4/29/09, refer here}	Here	
3/11/09	S.D.N.Y.	Argus International Life Bermuda Limited; Argus Group Holdings Limited; Massachusetts Mutual Life Insurance Co.; Oppenheimer Acquisition Corporation; Rye Investment Management; Rye Select Broad Market Fund L.P.; Rye Select Broad Market Insurance Portfolio, LDC; Tremont [Bermuda] Limited; Tremont Capital Management, Inc.; Tremont Group Holdings, Inc.; Tremont International Insurance Limited; Tremont Partners, Inc.; Ernst & Young LLP; KMPG LLP/ The Harriet Rutter Klein Revocable Truston behalf of persons who purchased or held deferred variable annuities from Argus during the period from March 2003 to the present	Here	
3/11/09	S.D.N.Y.	Argus International Life Bermuda Limited; Argus Group Holdings Limited; Massachusetts	Here	

		Mutual Life Insurance Co.; Oppenheimer Acquisition Corporation; Rye Investment Management; Rye Select Broad Market Fund L.P.; Rye Select Broad Market Insurance Portfolio, LDC; Tremont [Bermuda] Limited; Tremont Capital Management, Inc.; Tremont Group Holdings, Inc.; Tremont International Insurance Limited; Tremont Partners, Inc.; Ernst & Young LLP; KMPG LLP/ <i>The Matthew L. Klein Revocable Family Trust on behalf of persons who purchased or held variable universal life insurance policies from Argus during the period from March 2003 to the present</i>		
3/16/09	S.D.N.Y.	Beacon Associates LLC I; Beacon Associates Management Corporation; Ivy Asset Management; Joel Danziger; Harris Markhoff; The Bank of New York; Mellon Corporation; Freidberg Smith & Co. P.C./Jay Raubvogel individually and as trustee of the M. Raubvogel Co. Trust, on behalf of purchasers of limited company interests of Beacon Associates LLP I between January 1, 2000 and December 11, 2008.	Here	
3/16/09	S.D.N.Y.	Standard Chartered International USA (Ltd.); Standard Chartered PLC; Fairfield Greenwich Group; Fairfield Greenwich Limited; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Fairfield Sentry Ltd.; individual defendants; Jitendra Bhatia; Gopal Bhatia; Kishanchand Bhathia; Jayshree Bhatia; Mandakini Gajaria	Here	
3/19/09	S.D.N.Y.	Worldwide Fund Management, Ltd.; Bank Austria Creditanstalt; Bank of Bermuda (Cayman) Limited; Bank of Bermuda (Luxembourg) S.A.; Bank Medici AG; Ernst & Young; Primeo Fund; Herald Fund SPC; HSBC Holdings plc; HSBC Institutional Trust Services (Ireland) Ltd.; HSBC Securities Services (Ireland) Ltd.; HSBC Securities Services (Luxembourg) S.A.; Pioneer Alternative Investment Management Limited; Pricewaterhouse Coopers; Thema International Fund plc; Unicredit S.A.; individual defendants/ Fabian Perrone and Chia-Hung Kao	Here	
3/24/09	S.D.N.Y.	J. Ezra Merkin; Gabriel Capital Corporation/Equal Investments Limited on behalf of all persons who owned Ariel Fund Ltd. shares as of December 11, 2008	Here	
3/25/09	S.D.N.Y.	Banco Santander S.A.; Banco Santander International; Optimal Investment Services S.A.; HSBC Securities Services (Ireland) Ltd.; individual defendants; PricewaterhouseCoopers/Welinton David Santos; Adolfo Koblecovsky; Alejandro C.	Here	

		<i>Arroyo; Mateo Codinas Abad; Juan Martin Aparicio; Balmica Gestion S.L. on behalf persons owning participating shares in the Optimal Strategic U.S. Equity Series of Optimal Multiadvisors, Ltd. or the Optimal SUS Ireland Fund</i>		
3/31/09	S.D.N.Y.	Massachusetts Holding LLC; Massachusetts Mutual Life Insurance Co.; Oppenheimer Acquisition Corp.; New York Life Insurance Company and Annuity Corporation; Rye Investment Management; Rye Select Broad Market Prime Fund L.P.; Rye Select Broad Market XL Fund LP; Rye Select Broad Market Insurance Portfolio; Tremont Capital Management; Tremont Opportunity Fund III LP; Tremont (Bermuda) Ltd.; Tremont Group Holdings, Inc.; Tremont Partners Inc.; individual defendants/F. Daniel Prickett	Here	
4/2/09	S.D.N.Y.	Beacon Associates Management Corp.; Joel Danziger, Esq.; Harris Markhoff; Ivy Asset Management Corporation/ Plumbers Local 112 Health Fund on behalf of all persons who invested in Beacon Associates funds during the period August 9, 2004 to the present	Here	
4/3/09	D.Colo.	Fiserv, Inc.; Fiserve Trust Company; NTC & Co.; Trust Industrial Bank; Robert Beriault Holdings, Inc.; Lincoln Trust Company; TD Ameritrade Online Holdings Corp.; TD Ameritrade Holding Corporation/ Eric D. Weinstein on behalf of all persons who were victims of Madoff's fraud through pension or IRA accounts with Fiserv, Inc. et al	Here	
4/9/09	S.D. Fla.	Banco Santander S.A.; Banco Santander International; Optimal Investment Services S.A.; Optimal Multiadvisors Ltd.; Optimal Strategic U.S. Equity Ltd.; individual defendants; HSBC Institutional Trust Services (Ireland) Limited; and HSBC Securities Services (Ireland) Limited/Antonio Atencia Puado on behalf of investors in Optimal Mulitadvisors who held shares in Optimal Strategic U.S. Equity Ltd. as of December 11, 2008	Here	
4/10/09	S.D.N.Y.	Tremont Group Holdings, Inc.; Tremont Partners, Inc.; Tremont (Bermuda) Limited; Oppenheimer Acquisition Corporation; KPMG LLP; KPMG (Cayman)/ Meridian Horizon Fund L.P.; Meridian Diversified Fund L.P.; Meridian Diversified Fund Ltd.; Meridian Diversified ERISA Fund; Meridian Absolute Return ERISA Fund;	Here	
4/23/09	S.D.N.Y.	Fairfield Greenwich Group; Fairfield Greenwich (Bermuda) Ltd.; Fairfield Greenwich Advisors LLC; Fairfield Sentry Limited; individual defendants; Citgo Bank	Here	

		Nederland N.V., Dublin Branch; Citgo Global Custody N.V.; Citgo Fund Services (Europe) B.V.; PricewaterhouseCoopers International Limited; PricewaterhouseCoopers LLP (US); PricewaterhouseCoopers Bermuda; PricewaterhouseCoopers Accountants; PricewaterhouseCoopers LLP Chartered Accountants/ Nadav Zohar and Ronit Zohar on behalf of all persons invested in Fairfield Sentry Ltd. as of 12/11/08		
6/12/09	S.D.N.Y.	Kingate Management Limited; FIM Limited; FIM Advisers LLP; FIM (USA) Incorporated; PricewaterhouseCoopers; PricewaterhouseCoopers Bermuda; CITI Hedge Fund Services Limited; Bank of Bermuda Limited; individual defendants/Silvana Worldwide Corp. on behalf of investors in Kingate Global Fund	Here	
6/24/09	S.D.N.Y.	Kingate Management Limited; FIM Limited; FIM Advisers LLP; FIM (USA) Incorporated; PricewaterhouseCoopers; PricewaterhouseCoopers Bermuda; CITI Hedge Fund Services Limited; Bank of Bermuda Limited; individual defendants/ Eithan Ephrati on behalf of investors in Kingate Global Fund	Here	
6/26/09	S.D.N.Y.	Bernard L. Madoff; Kingate Management Limited; Tremont (Bermuda) Limited; FIM Advisers LLP; CITI Hedge Fund Services; individual defendants/LucienGeldzahler on behalf of persons who invested in Kingate Global Fund Ltd. and Kingate Euro Fund Ltd.	Here	

Table V: Madoff-Related Insurance Coverage Litigation

Date	Court	Defendants/Claimants	Link	D&O Diary Post
7/14/09	Minn. Dist. Ct.	St. Paul Fire & Marine Insurance Company; Travelers Casualty and Surety Company of America/Upshur-Smith Laboratories, Inc.	Here	Here
7/15/09	S.D.N.Y.	Federal Insurance Company/Ann & Hope Inc.; Helen Realty Co.; Samuel N. Chase; Irwin Chase; Marjorie Chase Alpert Torgan	Here	Here