

April 6, 2006



Dear [REDACTED]

On Monday, February 27, 2006, NASD discovered that two men burglarized NASD's Boca Raton District Office over the weekend and stole ten laptop computers. The computers contained information collected by NASD examiners for regulatory purposes. After assessing the contents of the stolen laptops, NASD determined that one of the laptops contained an On The Record transcript of an interview of you conducted by securities regulators. During the course of the interview, you provided identification information, including your social security number. This information was included in the transcript.

NASD is working with local law enforcement to identify and prosecute the criminals and recover the stolen laptops, if possible. NASD has provided surveillance footage with pictures of the thieves to law enforcement officials. Local law enforcement reported that there was a recent string of similar burglaries in the general area of the NASD District Office. They also indicated that it was likely that the laptops were stolen for street sale due to the fact that power cords were also stolen and a laptop with a power cord has a much higher street value.

The stolen laptops were all password protected, requiring an unauthorized user to either reformat the hard drive in order to use the device, or use special software to bypass the computer's operating system.

We are unaware of any inappropriate or unlawful use having been made of your personal information. There have been no reports of use of any of the information from any of the laptops.

The Federal Trade Commission (FTC) offers recommended steps to follow in the event of loss of personally identifiable information (name plus social security number, state driver's license number or financial account information, etc.) or in the event of actual identify theft. You may access this information on the FTC website at <http://www.consumer.gov/idtheft/>. Additionally, upon your request, NASD will provide you with credit monitoring services for a period of one year.

NASD wanted you to be aware of this incident involving your personal information. If you have any questions, wish to sign up for a on-year credit monitoring service at NASD's expense or if NASD can be of any further assistance to you with respect to this incident, please contact the NASD Call Center at (800) 334-0668.

Sincerely,

A handwritten signature in black ink that reads "Laurie Ann Dzien". The signature is written in a cursive, flowing style.

Laurie Ann Dzien
Director - Data Governance