



EXHIBIT LIST TO

REPORT OF INVESTIGATION

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
OFFICE OF INSPECTOR GENERAL

Case No. OIG-526

**Investigation of the SEC's Response to Concerns
Regarding Robert Allen Stanford's Alleged Ponzi Scheme**

March 31, 2010

1. Complaint, *SEC v. Stanford International Bank, Ltd., et al.*, Case No. 3-09CV0298-L (N.D. Tex. filed February 17, 2009)
2. Temporary Restraining Order, Order Freezing Assets, Order Requiring An Accounting, Order Requiring Preservation of Documents, and Order Authorizing Expedited Discovery, *SEC v. Stanford International Bank, Ltd.*, Case No. 3-09CV0298-L (N.D. Tex. filed February 17, 2009)
3. Order Appointing Receiver, *SEC v. Stanford International Bank, Ltd., et al.*, Case No. 3-09CV0298-L (N.D. Tex. filed February 17, 2009)
4. First Amended Complaint, *SEC v. Stanford International Bank, Ltd., et al.*, Case No. 3-09CV0298-L (N.D. Tex. filed February 27, 2009)
5. Excerpts from Testimony Transcript of Julie Preuit; December 14, 2009
6. Excerpts from Testimony Transcript of Julie Preuit; January 26, 2010
7. Excerpts from Testimony Transcript of (b)(6), (b)(7)c; December 14, 2009
8. Excerpts from Testimony Transcript of Mary Lou Felsman; December 15, 2009
9. Excerpts from Testimony Transcript of (b)(6), (b)(7)c December 15, 2009
10. Excerpts from Testimony Transcript of Unidentified former Branch Chief, FWDO Enforcement program; December 15, 2009
11. Excerpts from Interview Transcript of (b)(6), (b)(7)c January 11, 2010
12. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 11, 2010
13. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 11, 2010
14. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 11, 2010
15. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 12, 2010
16. Excerpts from Testimony Transcript of Unidentified former Branch Chief, FWDO Examination program; January 12, 2010
17. Excerpts from Testimony Transcript of (b)(6), (b)(7)c; January 13, 2010
18. Excerpts from Testimony Transcript of Victoria Prescott; January 27, 2010
19. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 27, 2010
20. Excerpts from Testimony Transcript of Hugh Wright; January 27, 2010
21. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 27, 2010
22. Excerpts from Testimony Transcript of Katherine Addleman; January 28, 2010
23. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 28, 2010
24. Excerpts from Testimony Transcript of (b)(6), (b)(7)c January 28, 2010
25. Excerpts from Testimony Transcript of Jeffrey Cohen; February 16, 2010
26. Excerpts from Testimony Transcript of (b)(6), (b)(7)c; February 16, 2010

27. Excerpts from Testimony Transcript of (b)(6), (b)(7)c; February 16, 2010
28. Excerpts from Testimony Transcript of Richard Connor; February 23, 2010
29. Excerpts from Testimony Transcript of (b)(6), (b)(7)c; February 26, 2010
30. Excerpts from Testimony Transcript of (b)(6), (b)(7)c; March 2, 2010
31. Excerpts from Interview Transcript of Julie Preuit; October 2, 2009
32. Memorandum of Interview of Julie Preuit; November 2, 2009
33. Excerpts from Interview Transcript of Victoria Prescott; October 29, 2009
34. Excerpts from Interview Transcript of (b)(6), (b)(7)c; November 3, 2009
35. Memorandum of Interview of (b)(6), (b)(7)c; February 3 and 5, 2010
36. Memorandum of Interview of Harold Degenhardt; February 17, 2010
37. Excerpts from Interview Transcript of Wayne Secore; February 17, 2010
38. Excerpts from Interview Transcript of Jack Ballard; February 19, 2010
39. Memorandum of Interview of (b)(6), (b)(7)c; February 24, 2010
40. Memorandum of Interview of Denise Crawford, (b)(6), (b)(7)c and (b)(6), (b)(7)c (b)(6), (b)(7)c; March 1, 2010
41. Excerpts from Interview Transcript of Spencer Barasch; March 2, 2010
42. Excerpts from Interview Transcript of Leyla Wydler; March 3, 2010
43. Excerpts from Interview Transcript of Charles Rawl and Mark Tidwell; March 9, 2010
44. Memorandum of Interview of (b)(6), (b)(7)c; March 22, 2010
45. Memorandum of Interview of (b)(6), (b)(7)c and Gregg Berman; March 23, 2010
46. Memorandum of Interview of Stanford Victim; March 24, 2010
47. District of Columbia Rules of Professional Conduct, Rule 1.11
48. Texas Disciplinary Rules of Professional Conduct, Rule 1.10
49. 1997 Examination Report regarding Stanford Group Company, Examination No. 06-D-97-037
50. 1997 STARS Report on Stanford Group Co., No. BD1997FWDO037
51. March 3, 2010 SEC Division of Enforcement Manual, relevant excerpts
52. 1998 Stanford MUI Opening Form, No. MFW-894
53. May 18, 1998 E-mail from Gordon Cox to Hugh Wright
54. May 27, 1998 Letter from (b)(6), (b)(7)c to (b)(6), (b)(7)c, SGC Compliance Officer
55. July 16, 1998 Report of Examination regarding Stanford Group Company

56. June 10, 1998 Letter from Jack Ballard to (b)(6), (b)(7)c
57. June 30, 1998 Letter from Lena Stinson to (b)(6), (b)(7)c
58. June 19, 1998 Letter from Jack Ballard to (b)(6), (b)(7)c copying Harold Degenhardt
59. 1998 Stanford MUI Closing Form, No. MFW-894
60. July 24, 1998 Letter from Harold Degenhardt to Don Clark; July 9, 1998 Letter from Don Clark to Harold Degenhardt
61. August 10, 1998 Letter from Harold Degenhardt to (b)(6), (b)(7)c July 30, 1998 Letter from (b)(6), (b)(7)c to Harold Degenhardt
62. August 25, 1998 Letter from Harold Degenhardt to (b)(6), (b)(7)c August 17, 1998 Letter from (b)(6), (b)(7)c to Harold Degenhardt
63. October 20, 1998 Letter from Harold Degenhardt to (b)(6), (b)(7)c September 21, 1998 Letter from (b)(6), (b)(7)c to Harold Degenhardt
64. March 22, 2010 E-mail from (b)(6), (b)(7)c to (b)(6), (b)(7)c
65. June 19, 1998 Letter from Jack Ballard to (b)(6), (b)(7)c
66. February 28, 2002 E-mail regarding "Legal, Settlement and Recruitment Fees since inception – SGC"
67. December 15, 2009 E-mail from Julie Preuitt to David Kotz *et al.*
68. Memorandum of Law in Support of Motion for Ex Parte Temporary Restraining Order, Preliminary Injunction and Other Emergency Relief, filed on February 17, 2009
69. July 16, 1998 Letter from (b)(6), (b)(7)c to Robert Glen
70. 2002 Examination Report regarding Stanford Group Company, No. IA2003FWDO-012
71. March 19-20, 2003 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c
72. May 22, 2003 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c February 12, 2003 E-mail from (b)(6), (b)(7)c to (b)(6), (b)(7)c
73. December 18-19, 2002 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c (b)(6), (b)(7)c
74. December 19, 2002 Letter from (b)(6), (b)(7)c to Jane Bates
75. March 13, 2003 Letter from Jane Bates to (b)(6), (b)(7)c
76. October 28, 2002 Letter from (b)(6), (b)(7)c to SEC Complaint Center, copying Harold Degenhardt
77. February 5, 2002 E-mail from (b)(6), (b)(7)c to Spencer Barasch
78. December 11-12, 2002 E-mail chain between (b)(6), (b)(7)c Hugh Wright, (b)(6), (b)(7)c and (b)(6), (b)(7)c December 2002 Draft Letter to (b)(6), (b)(7)c (b)(6), (b)(7)c from (b)(6), (b)(7)c

79. December 11-12, 2002 E-mail chain between (b)(6), (b)(7)c, Hugh Wright, (b)(6), (b)(7)c and (b)(6), (b)(7)c
80. SEC Tracking Report related to Stanford Financial Group, with handwritten note
81. February 23, 2010 E-mail from Julie Preuitt to (b)(6), (b)(7)c
82. December 16, 2002 E-mail chain between (b)(6), (b)(7)c and Spencer Barasch *et al.*
83. December 19, 2002 E-mail chain between (b)(6), (b)(7)c Spencer Barasch and (b)(6), (b)(7)c *et al.*
84. May 22, 2003 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c
February 12, 2003 E-mail from (b)(6), (b)(7)c to (b)(6), (b)(7)c
85. May 21, 2003 E-mail from (b)(6), (b)(7)c to (b)(6), (b)(7)c
86. May 21-22, 2003 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c *et al.*
87. June 3-4, 2003 E-mail chain between (b)(6), (b)(7)c Hugh Wright, and Harold Degenhardt *et al.*
88. August 4, 2003 Letter from (b)(6), (b)(7)c to Spencer Barasch
89. July 31, 2003 Letter from (b)(6), (b)(7)c to (b)(6), (b)(7)c
90. SEC Litigation Releases Nos. 16242 (August 4, 1999), 16974 (April 25, 2001), and 17533 (May 24, 2002) and SEC Administrative Release No. 48830 (November 24, 2003)
91. September 16, 2003 E-mail from (b)(6), (b)(7)c to (b)(6), (b)(7)c
92. October 20, 2003 E-mail from NASD to SEC; October 27-30, 2003 E-mail chain between Spencer Barasch and (b)(6), (b)(7)c *et al.*
93. October 10-12, 2003 E-mail chain between (b)(6), (b)(7)c Spencer Barasch, and (b)(6), (b)(7)c *et al.*
94. September 1, 2003 Letter to NASD Complaint Center regarding "Stanford Financial Group Case of Corporate Fraud"
95. November 4, 2003 E-mail from (b)(6), (b)(7)c to Jeffrey Cohen
96. Excerpt of (b)(6), (b)(7)c Handwritten Notes from November 2003
97. October 18-27, 2004 E-mail chain between Victoria Prescott and (b)(6), (b)(7)c (b)(6), (b)(7)c *et al.*
98. December 2, 2004 Broker Dealer Examination Report for Stanford Group Company, No. BD2005FWDO001
99. December 15, 2004 E-mail from Julie Preuitt to (b)(6), (b)(7)c *et al.*
100. April 5-8, 2005 E-mail between Julie Preuitt and (b)(6), (b)(7)c *et al.*

101. March 14, 2005 Draft Memorandum from Victoria Prescott to Spencer Barasch regarding "Stanford Group Company"
102. April 26, 2005 Prescott notes
103. April 19, 2005 E-mail chain between (b)(6), (b)(7)c and Victoria Prescott
104. January 6, 2005 E-mail chain between Victoria Prescott and (b)(6), (b)(7)c
105. October 27-29, 2004 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c (b)(6), (b)(7)c
106. November 18, 2004 E-mail from Leyla Basagoitia to (b)(6), (b)(7)c
December 22, 2004 E-mail from (b)(6), (b)(7)c to Victoria Prescott
107. Prescott's notes of December 20, 2004 Interview of Leyla Basagoitia
108. Prescott's notes of December 28, 2004 Interview of (b)(6), (b)(7)c
109. Prescott's notes of January 6, 2005 Interview of (b)(6), (b)(7)c
110. Prescott's notes of January 11, 2005 Interview of (b)(6), (b)(7)c
111. Roma Khanna, Stewart M. Powell and Janet Elliott, *Past probes sought to tie Stanford to drugs*, Houston Chronicle, February 20, 2009
112. SEC Press Release No. 2005-34 (March 9, 2005)
113. Spencer Barasch's SEC personnel record
114. April 5-8, 2005 E-mail between Julie Preuit and (b)(6), (b)(7)c *et al.*
115. April 12-13, 2005 E-mail chain between (b)(6), (b)(7)c and Jeffrey Cohen *et al.*;
April 5, 2005 E-mail chain between Julie Preuit, (b)(6), (b)(7)c and Jeffrey Cohen *et al.*
116. April 14, 2005 E-mail from (b)(6), (b)(7)c to Victoria Prescott *et al.*
117. April 5-15, 2005 E-mail chain between Jeffrey Cohen and (b)(6), (b)(7)c *et al.*
118. June 3, 2005 E-Mail chain between (b)(6), (b)(7)c and Jeffrey Cohen
119. April 24, 2005 E-mail from Jeffrey Cohen to Harold Degenhardt *et al.*
120. April 24-25, 2005 E-mail chain between Jeffrey Cohen and (b)(6), (b)(7)c
121. April 19, 2005 SEC Complaint/Tip/Referral database printout, Control Number 13639
122. June 21, 2005 E-mail chain between (b)(6), (b)(7)c and Harold Degenhardt
123. June 21, 2005 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c
124. June 14, 2005 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c *et al.*
125. Minutes of June 21, 2005 Regulatory Coordination Meeting
126. July 8-11, 2005 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c *et al.*
127. "Obtaining Documents And Testimony From Abroad," SEC Intranet

128. June 29, 2005 draft of the NASD referral letter
129. July 21, 2005 final referral letter sent to NASD
130. Report of the 2009 Special Review Committee on FINRA's Examination Program in Light of the Stanford and Madoff Schemes
131. August 17, 2005 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c
132. September 1-3, 2005 E-mail chain between Jeffrey Cohen, (b)(6), (b)(7)c and (b)(6), (b)(7)c
133. August 23-29, 2005 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c
134. SEC Press Release 2005-116 (Aug. 15, 2005)
135. SEC Press Release 2005-123 (Aug. 31, 2005)
136. September 21, 2005 E-mail chain between (b)(6), (b)(7)c and Jeffrey Cohen
137. September 21, 2005 E-mail chain between Julie Preuit and James Clarkson *et al.*
138. October 24, 2005 E-mail chain between (b)(6), (b)(7)c Victoria Prescott, Jeffrey Cohen, Julie Preuit, and Katherine Addleman
139. SEC Press Release 2005-120 (Aug. 23, 2005)
140. October 27-28, 2005 E-mail chain between Hugh Wright and James Clarkson *et al.*
141. October 26, 2005 E-mail chain between (b)(6), (b)(7)c and (b)(6), (b)(7)c
142. October 27, 2005 E-mail chain between James Clarkson, Julie Preuit, Hugh Wright, and Katherine Addleman
143. November 7, 2005 Memorandum from Hugh Wright to James Clarkson regarding "Stanford Group Company"
144. November 14, 2005 Memorandum from Jeffrey Cohen to Jim Clarkson and Kit Addleman regarding "Stanford Group Company (FW-02973)"
145. April 25, 2006 E-mail from (b)(6), (b)(7)c to (b)(6), (b)(7)c
146. June 13, 2006 E-mail from Jeffrey Cohen to "Enforcement Action Memos" *et al.*
147. August 21, 2006 E-mail from (b)(6), (b)(7)c to (b)(6), (b)(7)c and (b)(6), (b)(7)c (b)(6), (b)(7)c *et al.*
148. October 11, 2006 Action Memorandum Seeking Formal Order Authority regarding "Stanford Group Company [FW-2973]"
149. Memorandum of Law in Support of Motion for Ex Parte Temporary Restraining Order, Preliminary Injunction and Other Emergency Relief, filed on February 17, 2009

150. April 18, 2005 E-mail from Victoria Prescott to Jeffrey Cohen *et al.*
151. Amir Efrati, *The Stanford Affair: Another Bad Day for Proskauer*, The Wall Street Journal Law Blog, August 27, 2009
152. October 24, 2006 Memorandum to the Commission from the SEC's Office of General Counsel regarding "OGC Comments on the Closed Meeting of October 26, 2006"
153. May 6, 2009 E-mail chain between Mark Adler and Kimberly Garber
154. February 2010 Inspector General Survey Summary
155. February 2010 Inspector General Survey Response Excerpts
156. February 2010 Stanford Victims Coalition Survey Response Excerpts
157. Memorandum of Interview of Stanford Victim
158. October 17, 1997 Letter from Lena Stinson to (b)(6), (b)(7)c
159. February 20, 2008 letter from George W. Bush
160. Alison Fitzgerald and Michael Forsythe, *Stanford Coaxed \$5 Billion as SEC Weighed Powers*, Bloomberg, April 16, 2009
161. Judith Burns, *SEC's Near-Record Enforcement Results Raise Questions*, Dow Jones, October 9, 2008
162. October 25, 2004 E-mail chain between Julie Preuitt and Hugh Wright; June 3-4, 2003 chain between (b)(6), (b)(7)c Hugh Wright, and Harold Degenhardt *et al.*
163. January 14, 2004 E-mail from (b)(6), (b)(7)c
164. February 11, 2001 E-mail chain between Harold Degenhardt, Annette Nazareth, and Robert Colby *et al.*
165. March 9, 2009 Andrews Kurth press release, "Senior SEC Attorney to Join Andrews Kurth as Partner"
166. June 1-2, 2005 E-mail chain between Jane Bates and (b)(6), (b)(7)c
167. June 6, 2005 E-mail from Jane Bates to Yolanda Suarez
168. June 11, 2005 E-mail chain from (b)(6), (b)(7)c to Robert Allen Stanford
169. June 17, 2005 E-mail from Spencer Barasch to Mauricio Alvarado
170. June 20, 2005 E-mail chain between Spencer Barasch and Richard Connor
171. June 20, 2005 E-mail chain between (b)(6), (b)(7)c Harold Degenhardt and Julie Preuitt *et al.*
172. June 20, 2005 E-mail chain between (b)(6), (b)(7)c Harold Degenhardt and Jeffrey Cohen *et al.*
173. June 20, 2005 E-mail from Mauricio Alvarado to Robert Allen Stanford
174. September 29, 2006 E-mail from Robert Allen Stanford to Mauricio Alvarado

175. September 29, 2006 E-mail chain between Spencer Barasch and Mauricio Alvarado
176. December 18, 2006 Letter from Spencer Barasch to Mauricio Alvarado including Andrews Kurth billing records
177. September 29, 2006 - October 4, 2006 E-mail chain between Spencer Barasch and Mauricio Alvarado
178. October 12-13, 2006 E-mail chain between Thomas Sjoblom, Mauricio Alvarado and Spencer Barasch
179. October 12-13, 2006 E-mail from Spencer Barasch to Mauricio Alvarado
180. October 13, 2006 E-mail from Mauricio Alvarado to Robert Allen Stanford; October 12-13, 2006 E-mail from Spencer Barasch to Mauricio Alvarado
181. October 16, 2006 E-mail from Spencer Barasch to Bernerd Young
182. October 16-17, 2006 E-mail chain between Bernerd Young and Juan Rodriguez-Tolentino
183. October 20, 2006 E-mail from Bernerd Young to (b)(6), (b)(7)c
184. November 21, 2006 E-mail chain between Spencer Barasch and Mauricio Alvarado
185. November 21, 2006 E-mail chain between Thomas Sjoblom and Mauricio Alvarado
186. November 21, 2006 E-mail chain between Mauricio Alvarado and Thomas Sjoblom
187. November 27-28, 2006 E-mail chain between Spencer Barasch, Jeffrey Cohen and Richard Connor
188. November 27, 2006 E-mail from Julie Preuitt to (b)(6), (b)(7)c; April 5, 2005 E-mail from Julie Preuitt to (b)(6), (b)(7)c and Victoria Prescott
189. November 27, 2006 E-mail from Julie Preuitt to (b)(6), (b)(7)c
190. December 13, 2006 E-mail chain between Victoria Prescott and Richard Connor
191. December 13, 2006 E-mail chain between Victoria Prescott, Julie Preuitt, and Richard Connor
192. December 6, 2006 E-mail chain between Thomas Sjoblom, Spencer Barasch and Mauricio Alvarado
193. Spence Barasch biography, Andrews Kurth LLP website
194. February 17-19, 2009 E-mail chain between Spencer Barasch and Richard Connor
195. February 18-19, 2009 E-mail chain between (b)(6), (b)(7)c, Victoria Prescott and Richard Connor

196. February 19, 2009 E-mail chain between Victoria Prescott and Richard Connor; December 13, 2006 E-mail from Victoria Prescott to Richard Connor
197. February 23, 2009 E-mail from Spencer Barasch to Richard Connor; February 24, 2009 E-mail from Richard Connor to (b)(6), (b)(7)c
198. Clifford Krauss, Phillip L. Zweig and Julie Creswell, *Texas Firm Accused of \$8 Billion Fraud*, The New York Times, February 17, 2009
199. Glenn R. Simpson, Dionne Searcey and Kara Scannell, *Madoff Case Led SEC to Intensify Stanford Probe*, The Wall Street Journal, February 19, 2009
200. February 23, 2009 - March 10, 2009 E-mail chain between Spencer Barasch and Richard Connor