

# FEC FORM 3X

# REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) **USE FEC MAILING LABEL OR TYPE OR PRINT** Example: If typing, type over the lines  
Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street) 1101 New York Avenue, NW  
8th Floor  
 Check if different than previously reported. (ACC)  
Washington DC 20005

2. **FEC IDENTIFICATION NUMBER** C00431312  
**3. IS THIS REPORT**  NEW (N) **OR**  AMENDED (A)

4. **TYPE OF REPORT** (Choose One)  
(a) Quarterly Reports:  
 April 15 Quarterly Report(Q1)  
 July 15 Quarterly Report(Q2)  
 October 15 Quarterly Report(Q3)  
 January 31 Quarterly Report(YE)  
 July 31 Mid-Year Report(Non-election Year Only) (MY)  
 Termination Report (TER)  
(b) Monthly Report Due On:  
 Feb 20 (M2)  May 20 (M5)  Aug 20 (M8)  Nov 20 (M11) (Non-Election Year Only)  
 Mar 20 (M3)  Jun 20 (M6)  Sep 20 (M9)  Dec 20 (M12) (Non-Election Year Only)  
 Apr 20 (M4)  Jul 20 (M7)  Oct 20 (M10)  Jan 31 (YE)  
(c) 12-Day **PRE-Election** Report for the:  
 Primary (12P)  General (12G)  Runoff (12R)  
 Convention (12C)  Special (12G)  
Election on \_\_\_\_\_ in the State of \_\_\_\_\_  
(d) 30-Day **Post -Election** Report for the:  
 General (30G)  Runoff (30R)  Special (30S)  
Election on \_\_\_\_\_ in the State of \_\_\_\_\_

5. Covering Period 07 01 2009 through 07 31 2009

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.  
Type or Print Name of Treasurer Scott DeFife  
Signature of Treasurer Electronically Filed by Scott DeFife Date 08 20 2009

NOTE : Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g.

Office Use Only **FEC FORM 3X** (Rev. 12/2004)

**SUMMARY PAGE**  
**OF RECEIPTS AND DISBURSEMENTS**

Write or Type Committee Name  
Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: 

M	M
0	7

D	D
0	1

Y	Y	Y	Y
2	0	0	9

 To: 

M	M
0	7

D	D
3	1

Y	Y	Y	Y
2	0	0	9

	COLUMN A This Period	COLUMN B Calendar Year-to-Date								
6. (a) Cash on Hand January 1 <table border="1"><tr><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr><tr><td>2</td><td>0</td><td>0</td><td>9</td></tr></table>	Y	Y	Y	Y	2	0	0	9		40514.70
Y	Y	Y	Y							
2	0	0	9							
(b) Cash on Hand at Beginning of Reporting Period .....	18322.28									
(c) Total Receipts (from Line 19) .....	23129.00	97730.38								
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B) .....	41451.28	138245.08								
7. Total Disbursements (from Line 31) .....	370.59	97164.39								
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	41080.69	41080.69								
9. Debts and Obligations owed <b>TO</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00									
10. Debts and Obligations owed <b>BY</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00									

This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

**For further information contact:**

Federal Election Commission  
999 E street, NW  
Washington, DC 20463

Toll Free 800-424-9530  
Local 202-694-1100

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From:    To:

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A) .....	20923.84	71607.24
(ii) Unitemized .....	1995.00	13000.28
(iii) TOTAL (add Lines 11(a)(i) and (ii) .....	22918.84	84607.52
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs) .....	0.00	9000.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5) .....	22918.84	93607.52
12. Transfers From Affiliated/Other Party Committees .....	0.00	0.00
13. All Loans Received .....	0.00	0.00
14. Loan Repayments Received .....	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5) .....	210.16	622.86
16. Refunds of Contributions Made to Federal candidates and Other Political Committees .....	0.00	3500.00
17. Other Federal Receipts (Dividends, Interest, etc.) .....	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3) .....	0.00	0.00
(b) Levin Funds (from Schedule H5) .....	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c)) .....	23129.00	97730.38
20. Total Federal Receipts (subtract Line 18(c) from Line 19) .....	23129.00	97730.38

**DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

<b>II. DISBURSEMENTS</b>	<b>COLUMN A Total This Period</b>	<b>COLUMN B Calendar Year-to-Date</b>
21. Operating Expenditures:		
(a) Shared Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share.....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures.....	370.59	1164.39
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ▶	370.59	1164.39
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	0.00	83500.00
24. Independent Expenditure (use Schedule E) .....	0.00	0.00
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees .....	0.00	12500.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs) .....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)) .....	0.00	12500.00
29. Other Disbursements.....	0.00	0.00
30. Federal Election Activity (2 U.S.C 431(20))		
(a) Shared Federal Election Activity (from Schedule H6)		
(i) Federal Share .....	0.00	0.00
(ii) "Levin" Share .....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds .....	0.00	0.00
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	370.59	97164.39
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	370.59	97164.39

**DETAILED SUMMARY PAGE**  
of Disbursements

FEC Form 3X (Rev. 02/2003)

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III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) from Line 11(d), page 3) .....	22918.84	93607.52
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	12500.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	22918.84	81107.52
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	370.59	1164.39
37. Offsets to Operating Expenditures (from Line 15, page 3) .....	210.16	622.86
38. Net Operating Expenditures (subtract Line 37 from Line 36) .....	160.43	541.53

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 6 / 16
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)  
**Securities Industry and Financial Markets Association Political Action Committee**

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. Paul E. Purcell	Date of Receipt MM / DD / YYYY 07 / 01 / 2009
	Mailing Address 825 South Washington	<b>Transaction ID:</b> 17327207
	City State Zip Code Hinsdale IL 60521	Amount of Each Receipt this Period 5000.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Robert W. Baird & Co. Incorporated	Occupation President & CEO	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Ms. Patricia W. Purcell	Date of Receipt MM / DD / YYYY 07 / 01 / 2009
	Mailing Address 825 South Washington	<b>Transaction ID:</b> 17327208
	City State Zip Code Hinsdale IL 60521	Amount of Each Receipt this Period 5000.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer	Occupation Homemaker	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	

<b>C.</b>	Full Name (Last, First, Middle Initial) David Krasner	Date of Receipt MM / DD / YYYY 07 / 03 / 2009
	Mailing Address 100 Disbrow Lane	<b>Transaction ID:</b> 17329047
	City State Zip Code New Rochelle NY 10804-3230	Amount of Each Receipt this Period 55.56
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Securities Industry and Financial Mark	Occupation Controller	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 555.60	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>10055.56</b>
<b>TOTAL</b> This Period (last page this line number only) .....	

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 7 / 16
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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NAME OF COMMITTEE (In Full)  
**Securities Industry and Financial Markets Association Political Action Committee**

<b>A.</b>	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt MM / DD / YYYY 07 / 03 / 2009
	Mailing Address 8424 Frost Way	<b>Transaction ID:</b> 17329048
	City Annandale State VA Zip Code 22003-2221	Amount of Each Receipt this Period 50.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer: Securities Industry and Financial Mark Occupation: Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 1000.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Marin E. Gibson	Date of Receipt MM / DD / YYYY 07 / 03 / 2009
	Mailing Address 796 Port Monmouth Rd.	<b>Transaction ID:</b> 17329049
	City Port Monmouth State NJ Zip Code 07758-1676	Amount of Each Receipt this Period 35.72
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer: Securities Industry and Financial Mark Occupation: Managing Director & Counsel Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 464.36	

<b>C.</b>	Full Name (Last, First, Middle Initial) Mr. Dennis Zank	Date of Receipt MM / DD / YYYY 07 / 07 / 2009
	Mailing Address 14365 Eagle Pointe Drive	<b>Transaction ID:</b> 17342616
	City Clearwater State FL Zip Code 33762-2206	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer: Raymond James Financial, Inc. Occupation: President Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 500.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>585.72</b>
<b>TOTAL</b> This Period (last page this line number only) .....	

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 / 16

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

**A.** Full Name (Last, First, Middle Initial)  
Mr. Jamie Augustine

Mailing Address 3240 Wetherby Cove S

City State Zip Code  
Germantown TN 38139-8075

FEC ID number of contributing federal political committee. C

Name of Employer Raymond James Occupation SVP

Receipt For:  
 Primary  General  
 Other (specify) ▼

Aggregate Year-to-Date ▼ 500.00

Date of Receipt 07 / 07 / 2009

**Transaction ID:** 17342624

Amount of Each Receipt this Period 500.00

Contribution

**B.** Full Name (Last, First, Middle Initial)  
Mr. James B. Kruzan

Mailing Address P.O. Box 1071

City State Zip Code  
Fenton MI 48430-5071

FEC ID number of contributing federal political committee. C

Name of Employer Raymond James Occupation Certified Financial Planner

Receipt For:  
 Primary  General  
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 07 / 14 / 2009

**Transaction ID:** 17355104

Amount of Each Receipt this Period 250.00

Contribution

**C.** Full Name (Last, First, Middle Initial)  
Mr. Van C. Sayler

Mailing Address 7430 18th Street NE

City State Zip Code  
Saint Petersburg FL 33702-4763

FEC ID number of contributing federal political committee. C

Name of Employer Raymond James and Associates, Inc. Occupation Senior Vice President

Receipt For:  
 Primary  General  
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 07 / 14 / 2009

**Transaction ID:** 17355332

Amount of Each Receipt this Period 250.00

Contribution

**SUBTOTAL** of Receipts This Page (optional) ..... 1000.00

**TOTAL** This Period (last page this line number only) .....

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 9 / 16
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. Walter S. Robertson, III	Date of Receipt MM / DD / YYYY 07 / 14 / 2009
	Mailing Address 16 Bridgeway Road	<b>Transaction ID:</b> 17355343
	City Richmond State VA Zip Code 23226-3302	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
Name of Employer Scott & Stringfellow, Inc.	Occupation President and CEO	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. Scott A. Barkow	Date of Receipt MM / DD / YYYY 07 / 15 / 2009
	Mailing Address 13421 S.W. 70th Avenue	<b>Transaction ID:</b> 17356999
	City Miami State FL Zip Code 33156-6949	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
Name of Employer Raymond James Financial, Inc.	Occupation Sr. Vice President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

<b>C.</b>	Full Name (Last, First, Middle Initial) David Krasner	Date of Receipt MM / DD / YYYY 07 / 17 / 2009
	Mailing Address 100 Disbrow Lane	<b>Transaction ID:</b> 17359828
	City New Rochelle State NY Zip Code 10804-3230	Amount of Each Receipt this Period 55.56
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
Name of Employer Securities Industry and Financial Mark	Occupation Controller	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 611.16	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	▶	1305.56
<b>TOTAL</b> This Period (last page this line number only) .....	▶	

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 10 / 16
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b>	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt MM / DD / YYYY 07 / 17 / 2009
	Mailing Address 8424 Frost Way	<b>Transaction ID:</b> 17359829
	City Annandale State VA Zip Code 22003-2221	Amount of Each Receipt this Period 50.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1050.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Marin E. Gibson	Date of Receipt MM / DD / YYYY 07 / 17 / 2009
	Mailing Address 796 Port Monmouth Rd.	<b>Transaction ID:</b> 17359830
	City Port Monmouth State NJ Zip Code 07758-1676	Amount of Each Receipt this Period 35.72
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director & Counsel	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.08	

<b>C.</b>	Full Name (Last, First, Middle Initial) Thomas D. Harrington	Date of Receipt MM / DD / YYYY 07 / 17 / 2009
	Mailing Address 8654 Buttonwood Lane	<b>Transaction ID:</b> 17361652
	City Pinellas Park State FL Zip Code 33782-4319	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Raymond James	Occupation Regional Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>585.72</b>
<b>TOTAL</b> This Period (last page this line number only) .....	

**SCHEDULE A (FEC Form 3X)  
ITEMIZED RECEIPTS**

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 11 / 16
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 11b <input type="checkbox"/> 11c <input type="checkbox"/> 12 <input type="checkbox"/> 13 <input type="checkbox"/> 14 <input type="checkbox"/> 15 <input type="checkbox"/> 16 <input type="checkbox"/> 17	

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. William M. Daley	Date of Receipt MM / DD / YYYY 07 / 22 / 2009
	Mailing Address 270 Park Avenue 9th Floor	<b>Transaction ID:</b> 17367824
	City State Zip Code New York NY 10017-2014	Amount of Each Receipt this Period 5000.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer J.P. Morgan Securities Inc. Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
Aggregate Year-to-Date ▼ 5000.00		

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. Michael Digirolamo	Date of Receipt MM / DD / YYYY 07 / 24 / 2009
	Mailing Address 997 31st Terrace NE	<b>Transaction ID:</b> 17371426
	City State Zip Code Saint Petersburg FL 33704-2330	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer Raymond James & Associates, Inc. Occupation Sr. VP Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
Aggregate Year-to-Date ▼ 500.00		

<b>C.</b>	Full Name (Last, First, Middle Initial) Mr. Fred C. Hosken	Date of Receipt MM / DD / YYYY 07 / 27 / 2009
	Mailing Address 1835 Alicia Way	<b>Transaction ID:</b> 17373474
	City State Zip Code Clearwater FL 33764	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer Raymond James Financial, Inc. Occupation Sr. VP Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
Aggregate Year-to-Date ▼ 500.00		

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	6000.00
<b>TOTAL</b> This Period (last page this line number only) .....	

**SCHEDULE A (FEC Form 3X)  
ITEMIZED RECEIPTS**

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 12 / 16
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 11b <input type="checkbox"/> 11c <input type="checkbox"/> 12	
	<input type="checkbox"/> 13 <input type="checkbox"/> 14 <input type="checkbox"/> 15 <input type="checkbox"/> 16 <input type="checkbox"/> 17	

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. Thomas J Cavalier	Date of Receipt MM / DD / YYYY 07 / 28 / 2009
	Mailing Address 34 Cherry Hill Court	<b>Transaction ID:</b> 17376808
	City State Zip Code Canfield OH 44406-8638	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Stifel, Nicholas & Co., Inc.	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) John L. Forney	Date of Receipt MM / DD / YYYY 07 / 28 / 2009
	Mailing Address 300 Rafael Blvd NE	<b>Transaction ID:</b> 17377223
	City State Zip Code Saint Petersburg FL 33704-3828	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Raymond James & Associates, Inc.	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

<b>C.</b>	Full Name (Last, First, Middle Initial) David Krasner	Date of Receipt MM / DD / YYYY 07 / 31 / 2009
	Mailing Address 100 Disbrow Lane	<b>Transaction ID:</b> 17424267
	City State Zip Code New Rochelle NY 10804-3230	Amount of Each Receipt this Period 55.56
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Securities Industry and Financial Mark	Occupation Controller	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 666.72	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>1305.56</b>
<b>TOTAL</b> This Period (last page this line number only) .....	

**SCHEDULE A (FEC Form 3X)  
ITEMIZED RECEIPTS**

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:	PAGE 13 / 16
	(check only one)	
<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c
<input type="checkbox"/> 12	<input type="checkbox"/> 13	<input type="checkbox"/> 14
<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b>	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley		Date of Receipt
	Mailing Address 8424 Frost Way		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y 07 / 31 / 2009
	City	State	Zip Code
	Annandale	VA	22003-2221
	FEC ID number of contributing federal political committee.		Transaction ID: 17424268
Name of Employer Securities Industry and Financial Mark Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Amount of Each Receipt this Period <input type="text"/> 50.00	
Occupation Managing Director		Contribution	
Aggregate Year-to-Date ▼ <input type="text"/> 1100.00			

<b>B.</b>	Full Name (Last, First, Middle Initial) Marin E. Gibson		Date of Receipt
	Mailing Address 796 Port Monmouth Rd.		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y 07 / 31 / 2009
	City	State	Zip Code
	Port Monmouth	NJ	07758-1676
	FEC ID number of contributing federal political committee.		Transaction ID: 17424270
Name of Employer Securities Industry and Financial Mark Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Amount of Each Receipt this Period <input type="text"/> 35.72	
Occupation Managing Director & Counsel		Contribution	
Aggregate Year-to-Date ▼ <input type="text"/> 535.80			

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<input type="text"/> 85.72
<b>TOTAL</b> This Period (last page this line number only) .....	<input type="text"/> 20923.84

**SCHEDULE A (FEC Form 3X)  
ITEMIZED RECEIPTS**

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:		PAGE 14 / 16	
	(check only one)			
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input checked="" type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b>	Full Name (Last, First, Middle Initial) Securities Industry and Financial Markets Association		Date of Receipt
	Mailing Address 120 Broadway Floor 35		<input type="text" value="07"/> / <input type="text" value="10"/> / <input type="text" value="2009"/>
	City	State	Zip Code
	New York	NY	10271
	FEC ID number of contributing federal political committee.		<input type="text" value="C"/>
	Name of Employer		Occupation
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ <input type="text" value="622.86"/>	Transaction ID: 17347433
			Amount of Each Receipt this Period <input type="text" value="210.16"/>
			Reimbursement of Bank Fees

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<input type="text" value="210.16"/>
<b>TOTAL</b> This Period (last page this line number only) .....	<input type="text" value="210.16"/>

**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 15 / 16

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)  
Securities Industry and Financial Markets Association Political Action Committee

A.	Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 17335773 Date of Disbursement
	Mailing Address 1400 K Street, NW	<input type="text" value="07"/> <input type="text" value="02"/> / <input type="text" value="20"/> <input type="text" value="09"/>
	City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period
	Purpose of Disbursement Bank fees	<input type="text" value="180.72"/>
	Candidate Name	<input type="text" value="001"/> Category/Type
	Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Bank fees

B.	Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 17335775 Date of Disbursement
	Mailing Address 1400 K Street, NW	<input type="text" value="07"/> <input type="text" value="02"/> / <input type="text" value="20"/> <input type="text" value="09"/>
	City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period
	Purpose of Disbursement Bank Fees	<input type="text" value="29.44"/>
	Candidate Name	<input type="text" value="001"/> Category/Type
	Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Bank Fees

C.	Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 17428891 Date of Disbursement
	Mailing Address 1400 K Street, NW	<input type="text" value="07"/> <input type="text" value="02"/> / <input type="text" value="20"/> <input type="text" value="09"/>
	City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period
	Purpose of Disbursement Bank Fees	<input type="text" value="7.50"/>
	Candidate Name	<input type="text" value="001"/> Category/Type
	Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Bank Fees

SUBTOTAL of Disbursements This Page (optional) ..... ▶

TOTAL This Period (last page this line number only) ..... ▶

**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one)

PAGE 16 / 16

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement

Bank Fees

Candidate Name

001  
Category/  
Type

Office Sought:  House  Senate  President

State: District:

Disbursement For:  Primary  General  Other (specify) ▼

Transaction ID: 17428893

Date of Disbursement

07 / 02 / 2009

Amount of Each Disbursement this Period

4.95

Bank Fees

B.

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement

Bank Fees

Candidate Name

001  
Category/  
Type

Office Sought:  House  Senate  President

State: District:

Disbursement For:  Primary  General  Other (specify) ▼

Transaction ID: 17428894

Date of Disbursement

07 / 06 / 2009

Amount of Each Disbursement this Period

147.98

Bank Fees

SUBTOTAL of Disbursements This Page (optional) .....

152.93

TOTAL This Period (last page this line number only) .....

370.59