

**SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS**

FEC Form 3X (Rev. 02/2003)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: / / To: / /

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, <input type="text" value="2013"/>		185228.90
(b) Cash on Hand at Beginning of Reporting Period.....	153468.21	
(c) Total Receipts (from Line 19)	8742.47	230069.69
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	162210.68	415298.59
7. Total Disbursements (from Line 31).....	440.25	253528.16
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)).....	161770.43	161770.43
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY 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

DETAILED SUMMARY PAGE
of Receipts

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).....	7999.26	170135.47
(ii) Unitemized	557.76	5939.77
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ▶	8557.02	176075.24
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	53000.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5)	8557.02	229075.24
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).....	185.45	994.45
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....	0.00	0.00
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 Transfers (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))..... ▶	8742.47	230069.69
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	8742.47	230069.69

DETAILED SUMMARY PAGE
of Disbursements

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated 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	440.25	1528.16
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	440.25	1528.16
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	0.00	252000.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (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	0.00
(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	0.00
29. Other Disbursements	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated 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)) ..	440.25	253528.16
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	440.25	253528.16

DETAILED SUMMARY PAGE
of Disbursements

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Page 5

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)	8557.02	229075.24
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	8557.02	229075.24
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ▶	440.25	1528.16
37. Offsets to Operating Expenditures (from Line 15, page 3).....	185.45	994.45
38. Net Operating Expenditures (subtract Line 37 from Line 36)▶	254.80	533.71

**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 OF 17
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

<input type="checkbox"/> 12	<input type="checkbox"/> 16	<input type="checkbox"/> 17
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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

A. Mr. Paul J. Leyden
 Full Name (Last, First, Middle Initial)
 Mailing Address 18 Powder Hill Road
 City Bedford State NH Zip Code 03110-4845
 FEC ID number of contributing federal political committee. **C**
 Name of Employer RBC Wealth Management Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 500.00

Date of Receipt 08 / 08 / 2013
Transaction ID : 21080766
 Amount of Each Receipt this Period 500.00
 Contribution

B. Ms. Kathy A. Gremillion
 Full Name (Last, First, Middle Initial)
 Mailing Address 4900 Emerson Avenue South
 City Minneapolis State MN Zip Code 55419-5334
 FEC ID number of contributing federal political committee. **C**
 Name of Employer RBC Wealth Management Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 250.00

Date of Receipt 08 / 08 / 2013
Transaction ID : 21080767
 Amount of Each Receipt this Period 250.00
 Contribution

C. Mr. Michael Sharp
 Full Name (Last, First, Middle Initial)
 Mailing Address 388 Greenwich Street
 City New York State NY Zip Code 10013-2375
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Jefferies & Company Occupation General Counsel
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 5000.00

Date of Receipt 08 / 23 / 2013
Transaction ID : 21098488
 Amount of Each Receipt this Period 5000.00
 Contribution

SUBTOTAL of Receipts This Page (optional).....▶	5750.00
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 7 OF 17
	<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

A. Mr. Kenneth E. Bentsen Jr.
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer: Securities Industry and Financial Mark
 Occupation: EVP, Public Policy and Advocacy
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 3077.60

Date of Receipt: 08 / 07 / 2013
Transaction ID : 21098496
 Amount of Each Receipt this Period: 192.35

B. Ms. Lisa Bleier
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer: Securities Industry and Financial Mark
 Occupation: Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 307.68

Date of Receipt: 08 / 07 / 2013
Transaction ID : 21098497
 Amount of Each Receipt this Period: 19.23

C. Ms. Kyle Brandon
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer: Securities Industry and Financial Mark
 Occupation: Managing Director, DOR
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 1538.40

Date of Receipt: 08 / 07 / 2013
Transaction ID : 21098498
 Amount of Each Receipt this Period: 96.15

SUBTOTAL of Receipts This Page (optional).....▶	307.73
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:	PAGE 8 OF 17
	(check only one)	
<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<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

A. Ms Kim Chamberlain
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director & Counsel, State Gov
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 616.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 08 / 07 / 2013
Transaction ID : 21098499
 Amount of Each Receipt this Period
 38.50

B. David L Cohen
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 462.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 08 / 07 / 2013
Transaction ID : 21098501
 Amount of Each Receipt this Period
 38.50

C. Ms. Cheryl Crispen
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 City Washington State DC Zip Code 20005-4213
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Executive Vice President, Communicatio
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 1538.40

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 08 / 07 / 2013
Transaction ID : 21098502
 Amount of Each Receipt this Period
 96.15

SUBTOTAL of Receipts This Page (optional).....▶ 173.15
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:	PAGE 9 OF 17
	(check only one)	
<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<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

Full Name (Last, First, Middle Initial) A. Ms. Bradley Gaskins Edgell		Date of Receipt MM / DD / YYYY 08 / 07 / 2013 Transaction ID : 21098503
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 38.50
City Washington	State DC	
Zip Code 20005-4269		Aggregate Year-to-Date ▼ 616.00
FEC ID number of contributing federal political committee. C		
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) ▼

Full Name (Last, First, Middle Initial) B. Tracy Eichler		Date of Receipt MM / DD / YYYY 08 / 07 / 2013 Transaction ID : 21098504
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 19.23
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 307.68
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Director	Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

Full Name (Last, First, Middle Initial) C. Ms. Lisa Fues		Date of Receipt MM / DD / YYYY 08 / 07 / 2013 Transaction ID : 21098505
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 19.23
City Washington	State DC	
Zip Code 20005-4269		Aggregate Year-to-Date ▼ 307.68
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Vice President	Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

SUBTOTAL of Receipts This Page (optional).....▶	76.96
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 10 OF 17
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

A. Marin E. Gibson
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director & Counsel
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1120.00**

Date of Receipt
 M M / D D / Y Y Y Y Y Y
 08 / 07 / 2013
Transaction ID : 21098506
 Amount of Each Receipt this Period
70.00

B. Mr. Carter McDowell
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Senior Managing Director
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **2115.46**

Date of Receipt
 M M / D D / Y Y Y Y Y Y
 08 / 07 / 2013
Transaction ID : 21098507
 Amount of Each Receipt this Period
288.46

C. Ms. Ilene F. Rosenthal
 Full Name (Last, First, Middle Initial)
 Mailing Address 9613 Reach Road
 City Potomac State MD Zip Code 20854-2857
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Executive Vice President
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **2916.64**

Date of Receipt
 M M / D D / Y Y Y Y Y Y
 08 / 07 / 2013
Transaction ID : 21098508
 Amount of Each Receipt this Period
208.33

SUBTOTAL of Receipts This Page (optional).....▶	566.79
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 11 OF 17
<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. Mr. Kenneth E. Bentsen Jr.
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation EVP, Public Policy and Advocacy
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **3269.95**

Date of Receipt **08 / 21 / 2013**
Transaction ID : 21098513
 Amount of Each Receipt this Period **192.35**

B. Ms. Lisa Bleier
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **326.91**

Date of Receipt **08 / 21 / 2013**
Transaction ID : 21098514
 Amount of Each Receipt this Period **19.23**

C. Ms. Kyle Brandon
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director, DOR
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1634.55**

Date of Receipt **08 / 21 / 2013**
Transaction ID : 21098515
 Amount of Each Receipt this Period **96.15**

SUBTOTAL of Receipts This Page (optional).....▶	307.73
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 12 OF 17
	<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

A. Ms Kim Chamberlain
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee. **C**

Name of Employer Securities Industry and Financial Mark Occupation Managing Director & Counsel, State Gov

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ **654.50**

Date of Receipt
08 / 21 / 2013
Transaction ID : 21098516

Amount of Each Receipt this Period
38.50

B. David L Cohen
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

FEC ID number of contributing federal political committee. **C**

Name of Employer Securities Industry and Financial Mark Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ **500.50**

Date of Receipt
08 / 21 / 2013
Transaction ID : 21098518

Amount of Each Receipt this Period
38.50

C. Ms. Cheryl Crispen
Full Name (Last, First, Middle Initial)

Mailing Address 1101 New York Ave, NW

City Washington State DC Zip Code 20005-4213

FEC ID number of contributing federal political committee. **C**

Name of Employer Securities Industry and Financial Mark Occupation Executive Vice President, Communicatio

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ **1634.55**

Date of Receipt
08 / 21 / 2013
Transaction ID : 21098519

Amount of Each Receipt this Period
96.15

SUBTOTAL of Receipts This Page (optional)..... **173.15**

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 13 OF 17
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

A. Ms. Bradley Gaskins Edgell
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 654.50

Date of Receipt 08 / 21 / 2013
Transaction ID : 21098520
 Amount of Each Receipt this Period 38.50

B. Tracy Eichler
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 Name of Employer Securities Industry and Financial Mark Occupation Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 326.91

Date of Receipt 08 / 21 / 2013
Transaction ID : 21098521
 Amount of Each Receipt this Period 19.23

C. Ms. Lisa Fues
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 Name of Employer Securities Industry and Financial Mark Occupation Vice President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 326.91

Date of Receipt 08 / 21 / 2013
Transaction ID : 21098522
 Amount of Each Receipt this Period 19.23

SUBTOTAL of Receipts This Page (optional)..... ▶ 76.96
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 14 OF 17
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

A. Marin E. Gibson
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director & Counsel
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 1190.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 08 / 21 / 2013
Transaction ID : 21098523
 Amount of Each Receipt this Period
 70.00

B. Mr. Carter McDowell
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Senior Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 2403.92

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 08 / 21 / 2013
Transaction ID : 21098524
 Amount of Each Receipt this Period
 288.46

C. Ms. Ilene F. Rosenthal
 Full Name (Last, First, Middle Initial)
 Mailing Address 9613 Reach Road
 City Potomac State MD Zip Code 20854-2857
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Executive Vice President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 3124.97

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 08 / 21 / 2013
Transaction ID : 21098525
 Amount of Each Receipt this Period
 208.33

SUBTOTAL of Receipts This Page (optional).....▶	566.79
TOTAL This Period (last page this line number only).....▶	7999.26

**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 15 OF 17
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input checked="" 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

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

Full Name (Last, First, Middle Initial) A. Securities Industry and Financial Markets Association		Date of Receipt
Mailing Address 120 Broadway Floor 35		<input type="text" value="08"/> / <input type="text" value="23"/> / <input type="text" value="2013"/>
City New York	State NY	Zip Code 10271
FEC ID number of contributing federal political committee.	<input type="text" value="C"/>	Transaction ID : 21098495
Name of Employer	Occupation	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼	<input type="text" value="185.45"/>
	<input type="text" value="993.25"/>	Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial) B.		Date of Receipt
Mailing Address		<input type="text"/> / <input type="text"/> / <input type="text"/>
City	State	Zip Code
FEC ID number of contributing federal political committee.	<input type="text" value="C"/>	Amount of Each Receipt this Period
Name of Employer	Occupation	<input type="text"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼	<input type="text"/>

Full Name (Last, First, Middle Initial) C.		Date of Receipt
Mailing Address		<input type="text"/> / <input type="text"/> / <input type="text"/>
City	State	Zip Code
FEC ID number of contributing federal political committee.	<input type="text" value="C"/>	Amount of Each Receipt this Period
Name of Employer	Occupation	<input type="text"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼	<input type="text"/>

SUBTOTAL of Receipts This Page (optional).....▶	<input type="text" value="185.45"/>
TOTAL This Period (last page this line number only).....▶	<input type="text" value="185.45"/>

**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)

<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

Full Name (Last, First, Middle Initial)

A. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21145978

Amount of Each Disbursement this Period

Credit Card Fees

Full Name (Last, First, Middle Initial)

B. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21145979

Amount of Each Disbursement this Period

Credit Card Fees

Full Name (Last, First, Middle Initial)

C. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Bank Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21145980

Amount of Each Disbursement this Period

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)

<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

Full Name (Last, First, Middle Initial)

A. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For:
 Primary General
 Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21145987

Amount of Each Disbursement this Period

Credit Card Fees

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City State Zip Code

Purpose of Disbursement

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For:
 Primary General
 Other (specify) ▼

Date of Disbursement

/ /

Amount of Each Disbursement this Period

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

Purpose of Disbursement

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For:
 Primary General
 Other (specify) ▼

Date of Disbursement

/ /

Amount of Each Disbursement this Period

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

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