

**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"/>	<input type="text" value="185228.90"/>	<input type="text" value="185228.90"/>
(b) Cash on Hand at Beginning of Reporting Period.....	<input type="text" value="136602.45"/>	
(c) Total Receipts (from Line 19)	<input type="text" value="46630.19"/>	<input type="text" value="299603.59"/>
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	<input type="text" value="183232.64"/>	<input type="text" value="484832.49"/>
7. Total Disbursements (from Line 31).....	<input type="text" value="21651.32"/>	<input type="text" value="323251.17"/>
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)).....	<input type="text" value="161581.32"/>	<input type="text" value="161581.32"/>
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	<input type="text" value="0.00"/>	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	<input type="text" value="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: 10 / 01 / 2013 To: 10 / 31 / 2013

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).....	30264.92	218149.65
(ii) Unitemized	1713.95	7736.48
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ▶	31978.87	225886.13
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	14500.00	72500.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5)	46478.87	298386.13
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).....	151.32	1217.46
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))..... ▶	46630.19	299603.59
20. Total Federal Receipts (subtract Line 18(c) from Line 19)..... ▶	46630.19	299603.59

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

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	151.32	1751.17
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	151.32	1751.17
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	21500.00	321500.00
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)) ..	21651.32	323251.17
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	21651.32	323251.17

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

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)	46478.87	298386.13
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	46478.87	298386.13
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	151.32	1751.17
37. Offsets to Operating Expenditures (from Line 15, page 3).....	151.32	1217.46
38. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	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 36
	<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

Full Name (Last, First, Middle Initial) A. Thomas Hartnett		Date of Receipt M M M / D D D / Y Y Y Y Y Y 10 / 03 / 2013 Transaction ID : 21188992
Mailing Address 400 E 67th Street Apt. 26 C		Amount of Each Receipt this Period 5000.00
City New York	State NY	Zip Code 10065-6324
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Deutsche Bank 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	

Full Name (Last, First, Middle Initial) B. Mr. James P. Kerr		Date of Receipt M M M / D D D / Y Y Y Y Y Y 10 / 03 / 2013 Transaction ID : 21191289
Mailing Address 3658 50th Avenue NE		Amount of Each Receipt this Period 500.00
City Seattle	State WA	Zip Code 98105-5256
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer D.A. Davidson & Company	Occupation President/Individual Investor Group	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

Full Name (Last, First, Middle Initial) C. Mr. Richard B. Glassburn		Date of Receipt M M M / D D D / Y Y Y Y Y Y 10 / 03 / 2013 Transaction ID : 21191329
Mailing Address 21911 98th Avenue W		Amount of Each Receipt this Period 250.00
City Edmonds	State WA	Zip Code 98020-3926
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Davidson Companies	Occupation VP	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

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 36
	<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

A. Mr. James P. Gorman
 Full Name (Last, First, Middle Initial)
 Mailing Address 1120 5th Avenue
 6A
 City New York State NY Zip Code 10128-0144
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Morgan Stanley Occupation President & Chief Executive Officer
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 2000.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 04 / 2013
Transaction ID : 21191896
 Amount of Each Receipt this Period
 2000.00
 Contribution

B. 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 President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 3847.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 02 / 2013
Transaction ID : 21193319
 Amount of Each Receipt this Period
 192.35

C. 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 ▼ 384.60

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 02 / 2013
Transaction ID : 21193320
 Amount of Each Receipt this Period
 19.23

SUBTOTAL of Receipts This Page (optional).....	2211.58
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 8 OF 36
	<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
-----------------------------	-----------------------------	-----------------------------

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. Ms. Kyle Brandon		Date of Receipt 10 / 02 / 2013 Transaction ID : 21193321
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 96.15
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 1923.00
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director, DOR	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

Full Name (Last, First, Middle Initial) B. Ms Kim Chamberlain		Date of Receipt 10 / 02 / 2013 Transaction ID : 21193322
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 38.50
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 770.00
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: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

Full Name (Last, First, Middle Initial) C. Mr Salvatore Chiarelli		Date of Receipt 10 / 02 / 2013 Transaction ID : 21193323
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 ▼ 211.53
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) ▼		

SUBTOTAL of Receipts This Page (optional).....▶	153.88
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 OF 36
	<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

A. 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 ▼
616.00

Date of Receipt
10 / 02 / 2013
Transaction ID : 21193324

Amount of Each Receipt this Period
38.50

B. 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 ▼
1923.00

Date of Receipt
10 / 02 / 2013
Transaction ID : 21193325

Amount of Each Receipt this Period
96.15

C. 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

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 ▼
770.00

Date of Receipt
10 / 02 / 2013
Transaction ID : 21193326

Amount of Each Receipt this Period
38.50

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 10 OF 36
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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. Tracy Eichler
 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 Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 384.60

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 02 / 2013
Transaction ID : 21193327
 Amount of Each Receipt this Period
 19.23

B. 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
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Vice President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 384.60

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 02 / 2013
Transaction ID : 21193328
 Amount of Each Receipt this Period
 19.23

C. 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 ▼ 1400.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 02 / 2013
Transaction ID : 21193329
 Amount of Each Receipt this Period
 70.00

SUBTOTAL of Receipts This Page (optional).....▶	108.46
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 36
	<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

A. 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 ▼
3269.30

Date of Receipt
10 / 02 / 2013
Transaction ID : 21193330

Amount of Each Receipt this Period
288.46

B. Ms. Ileana 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 ▼
3749.96

Date of Receipt
10 / 02 / 2013
Transaction ID : 21193331

Amount of Each Receipt this Period
208.33

C. Mr. Edward N. Pick
Full Name (Last, First, Middle Initial)

Mailing Address 47 E. 91st, Apt. 3

City New York State NY Zip Code 10128-0605

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

Name of Employer Morgan Stanley Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
2000.00

Date of Receipt
10 / 08 / 2013
Transaction ID : 21193371

Amount of Each Receipt this Period
2000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ▶ 2496.79

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 12 OF 36
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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. Paul C Wirth
 Full Name (Last, First, Middle Initial)
 Mailing Address PO Box 773
 City New Vernon State NJ Zip Code 07976-0773
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Morgan Stanley Occupation Managing Director
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1000.00**

Date of Receipt **10 / 10 / 2013**
Transaction ID : 21193954
 Amount of Each Receipt this Period **1000.00**
 Contribution

B. Mr. Douglas J. Ketterer
 Full Name (Last, First, Middle Initial)
 Mailing Address 11 Woodvale Drive
 City Syosset State NY Zip Code 11791-1213
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Morgan Stanley Occupation Managing Director
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1000.00**

Date of Receipt **10 / 10 / 2013**
Transaction ID : 21193955
 Amount of Each Receipt this Period **1000.00**
 Contribution

C. Mr. Stuart Breslow
 Full Name (Last, First, Middle Initial)
 Mailing Address 11 Madison Avenue Compliance Department
 City New York State NY Zip Code 10010-3643
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Credit Suisse First Boston Occupation Chief Compliance Officer
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1000.00**

Date of Receipt **10 / 10 / 2013**
Transaction ID : 21193958
 Amount of Each Receipt this Period **1000.00**
 Contribution

SUBTOTAL of Receipts This Page (optional)..... **3000.00**
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 13 OF 36
	<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

Full Name (Last, First, Middle Initial) A. Mr. Stephen D'Antonio		Date of Receipt M M / D D / Y Y Y Y Y 10 / 11 / 2013 Transaction ID : 21194384
Mailing Address 1633 Broadway Agency & CMO Trading Dept.		Amount of Each Receipt this Period 1000.00
City New York	State NY	Zip Code 10019-6708
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Morgan Stanley	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

Full Name (Last, First, Middle Initial) B. Mr. Randall Saufley		Date of Receipt M M / D D / Y Y Y Y Y 10 / 11 / 2013 Transaction ID : 21194385
Mailing Address 9073 Vidette Lane		Amount of Each Receipt this Period 500.00
City Mechanicsville	State VA	Zip Code 23116-6571
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer BB & T Capital Markets	Occupation CFO	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

Full Name (Last, First, Middle Initial) C. Mr. Michael J. Purpura		Date of Receipt M M / D D / Y Y Y Y Y 10 / 14 / 2013 Transaction ID : 21197887
Mailing Address 1400 1st West Hill Drive		Amount of Each Receipt this Period 250.00
City Great Falls	State MT	Zip Code 59404-3023
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer D.A. Davidson & Company	Occupation Chief Operating Officer - IIG	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional).....▶	1750.00
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 14 OF 36
<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

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. Robert Rooney			Date of Receipt 10 / 14 / 2013 Transaction ID : 21197890
Mailing Address 1585 Broadway			Amount of Each Receipt this Period 1000.00
City New York	State NY	Zip Code 10036-8200	
FEC ID number of contributing federal political committee. C			Contribution
Name of Employer Morgan Stanley	Occupation Managing Director		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00		

Full Name (Last, First, Middle Initial) B. Mr. Jonathan B. Kindred			Date of Receipt 10 / 16 / 2013 Transaction ID : 21205920
Mailing Address 1585 Broadway			Amount of Each Receipt this Period 1000.00
City New York	State NY	Zip Code 10036-8204	
FEC ID number of contributing federal political committee. C			Contribution
Name of Employer Morgan Stanley	Occupation Managing Director		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00		

Full Name (Last, First, Middle Initial) C. Mr. Don Steel			Date of Receipt 10 / 16 / 2013 Transaction ID : 21206000
Mailing Address 16726 Monte Hermosa Drive			Amount of Each Receipt this Period 4000.00
City Pacific Palisades	State CA	Zip Code 90272-1908	
FEC ID number of contributing federal political committee. C			Contribution
Name of Employer Planned Investment Co., Inc.	Occupation CEO		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00		

SUBTOTAL of Receipts This Page (optional).....▶	6000.00
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 15 OF 36
	<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

A. Heather Jones
Full Name (Last, First, Middle Initial)
Mailing Address 1606 Bellevue Avenue
City Richmond State VA Zip Code 23227-3919
FEC ID number of contributing federal political committee. **C**
Name of Employer BB & T Capital Markets Occupation Managing Director
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date **250.00**

Date of Receipt **10 / 18 / 2013**
Transaction ID : 21208138
Amount of Each Receipt this Period **250.00**
Contribution

B. Mr. Jeff Brodsky
Full Name (Last, First, Middle Initial)
Mailing Address 27 Golf Course Drive
City Montebello State NY Zip Code 10901-3948
FEC ID number of contributing federal political committee. **C**
Name of Employer Morgan Stanley Occupation Managing Director
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date **1500.00**

Date of Receipt **10 / 22 / 2013**
Transaction ID : 21212853
Amount of Each Receipt this Period **1500.00**
Contribution

C. 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 President
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date **4039.35**

Date of Receipt **10 / 16 / 2013**
Transaction ID : 21215141
Amount of Each Receipt this Period **192.35**
Contribution

SUBTOTAL of Receipts This Page (optional)..... **1942.35**
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 16 OF 36
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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. 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 ▼ 403.83

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 16 / 2013
Transaction ID : 21215142
 Amount of Each Receipt this Period
 19.23

B. 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 ▼ 2019.15

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 16 / 2013
Transaction ID : 21215143
 Amount of Each Receipt this Period
 96.15

C. 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 ▼ 808.50

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 16 / 2013
Transaction ID : 21215144
 Amount of Each Receipt this Period
 38.50

SUBTOTAL of Receipts This Page (optional)..... ▶ 153.88
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 17 OF 36
	<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

Full Name (Last, First, Middle Initial) A. Mr Salvatore Chiarelli		Date of Receipt 10 / 16 / 2013 Transaction ID : 21215145
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 ▼ 230.76
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. David L Cohen		Date of Receipt 10 / 16 / 2013 Transaction ID : 21215146
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 38.50
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 654.50
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) C. Ms. Cheryl Crispen		Date of Receipt 10 / 16 / 2013 Transaction ID : 21215147
Mailing Address 1101 New York Ave, NW		Amount of Each Receipt this Period 96.15
City Washington	State DC	
Zip Code 20005-4213		Aggregate Year-to-Date ▼ 2019.15
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Executive Vice President, Communicatio	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

SUBTOTAL of Receipts This Page (optional).....▶	153.88
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 18 OF 36
	<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

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 ▼ 808.50

Date of Receipt 10 / 16 / 2013
Transaction ID : 21215148
 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 ▼ 403.83

Date of Receipt 10 / 16 / 2013
Transaction ID : 21215149
 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 ▼ 403.83

Date of Receipt 10 / 16 / 2013
Transaction ID : 21215150
 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 19 OF 36
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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. Marin E. Gibson		Date of Receipt 10 / 16 / 2013 Transaction ID : 2121511
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 70.00
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 1470.00
FEC ID number of contributing federal political committee. C		
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) ▼

Full Name (Last, First, Middle Initial) B. Mr. Carter McDowell		Date of Receipt 10 / 16 / 2013 Transaction ID : 2121512
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 288.46
City Washington	State DC	
Zip Code 20005-4269		Aggregate Year-to-Date ▼ 3557.76
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Senior Managing Director	Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

Full Name (Last, First, Middle Initial) C. Richard B Payne		Date of Receipt 10 / 25 / 2013 Transaction ID : 2121518
Mailing Address 100 Third Avenue South Unit 1201		Amount of Each Receipt this Period 2500.00
City Minneapolis	State MN	
Zip Code 55401-2708		Aggregate Year-to-Date ▼ 2500.00
FEC ID number of contributing federal political committee. C		
Name of Employer U.S. Bancorp	Occupation Vice President of Wholesale Banking	Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

SUBTOTAL of Receipts This Page (optional).....	2858.46
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 20 OF 36
	<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

A. Thomas W Barrett
Full Name (Last, First, Middle Initial)

Mailing Address 4114 Chatham Hill Drive

City Winston Salem State NC Zip Code 27104-1439

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

Name of Employer BB & T Capital Markets Occupation Financial Advisor

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 30 / 2013

Transaction ID : 21220860

Amount of Each Receipt this Period
 250.00

Contribution

B. Ross E Legum
Full Name (Last, First, Middle Initial)

Mailing Address 825 Greentree Arch

City Virginia Beach State VA Zip Code 23451-3787

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

Name of Employer BB & T Capital Markets Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 30 / 2013

Transaction ID : 21222764

Amount of Each Receipt this Period
 250.00

Contribution

C. Mr. Michael Heaney
Full Name (Last, First, Middle Initial)

Mailing Address 147 Schuyler Road

City Allendale State NJ Zip Code 07401-1836

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

Name of Employer Morgan Stanley Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 31 / 2013

Transaction ID : 21249050

Amount of Each Receipt this Period
 1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ▶ 1500.00

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 21 OF 36
	<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

Full Name (Last, First, Middle Initial) A. Mr. Kenneth E. Bentsen Jr.		Date of Receipt M M / D D / Y Y Y Y Y 10 / 30 / 2013 Transaction ID : 21264666
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 192.35
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 President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 4231.70	

Full Name (Last, First, Middle Initial) B. Ms. Lisa Bleier		Date of Receipt M M / D D / Y Y Y Y Y 10 / 30 / 2013 Transaction ID : 21264667
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
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) ▼	Aggregate Year-to-Date ▼ 423.06	

Full Name (Last, First, Middle Initial) C. Ms. Kyle Brandon		Date of Receipt M M / D D / Y Y Y Y Y 10 / 30 / 2013 Transaction ID : 21264668
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 96.15
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: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 2115.30	

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 22 OF 36
	<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
-----------------------------	-----------------------------	-----------------------------

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. Ms Kim Chamberlain		Date of Receipt 10 / 30 / 2013 Transaction ID : 21264669
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 38.50
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 847.00
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: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼

Full Name (Last, First, Middle Initial) B. Mr Salvatore Chiarelli		Date of Receipt 10 / 30 / 2013 Transaction ID : 21264670
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 ▼ 249.99
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) C. David L Cohen		Date of Receipt 10 / 30 / 2013 Transaction ID : 21264671
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 38.50
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 693.00
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) ▼

SUBTOTAL of Receipts This Page (optional).....▶	96.23
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 23 OF 36
	<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

Full Name (Last, First, Middle Initial) A. Ms. Cheryl Crispen		Date of Receipt
Mailing Address 1101 New York Ave, NW		<input type="text" value="10"/> / <input type="text" value="30"/> / <input type="text" value="2013"/>
City Washington State DC Zip Code 20005-4213		Transaction ID : 21264672
FEC ID number of contributing federal political committee. <input type="text" value="C"/>		Amount of Each Receipt this Period
Name of Employer Securities Industry and Financial Mark Occupation Executive Vice President, Communicatio		<input type="text" value="96.15"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼
		<input type="text" value="2115.30"/>

Full Name (Last, First, Middle Initial) B. Ms. Bradley Gaskins Edgell		Date of Receipt
Mailing Address 1101 New York Ave, NW 8th Floor		<input type="text" value="10"/> / <input type="text" value="30"/> / <input type="text" value="2013"/>
City Washington State DC Zip Code 20005-4269		Transaction ID : 21264673
FEC ID number of contributing federal political committee. <input type="text" value="C"/>		Amount of Each Receipt this Period
Name of Employer Securities Industry and Financial Mark Occupation Managing Director		<input type="text" value="38.50"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼
		<input type="text" value="847.00"/>

Full Name (Last, First, Middle Initial) C. Tracy Eichler		Date of Receipt
Mailing Address 120 Broadway 35th Floor		<input type="text" value="10"/> / <input type="text" value="30"/> / <input type="text" value="2013"/>
City New York State NY Zip Code 10271-3599		Transaction ID : 21264674
FEC ID number of contributing federal political committee. <input type="text" value="C"/>		Amount of Each Receipt this Period
Name of Employer Securities Industry and Financial Mark Occupation Director		<input type="text" value="19.23"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼
		<input type="text" value="423.06"/>

SUBTOTAL of Receipts This Page (optional).....▶	<input type="text" value="153.88"/>
TOTAL This Period (last page this line number only).....▶	<input type="text"/>

**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 24 OF 36
	<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

A. 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

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

Name of Employer Securities Industry and Financial Mark Occupation Vice President

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
423.06

Date of Receipt
10 / 30 / 2013
Transaction ID : 21264675

Amount of Each Receipt this Period
19.23

B. 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 ▼
1540.00

Date of Receipt
10 / 30 / 2013
Transaction ID : 21264676

Amount of Each Receipt this Period
70.00

C. 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 ▼
3846.22

Date of Receipt
10 / 30 / 2013
Transaction ID : 21264677

Amount of Each Receipt this Period
288.46

SUBTOTAL of Receipts This Page (optional)..... ▶ 377.69

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 25 OF 36
<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"/>	<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

A. Full Name (Last, First, Middle Initial)
William H Strong

Mailing Address 1730 North Clark Street
Apartment 3312

City Chicago State IL Zip Code 60614-5323

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

Name of Employer Morgan Stanley Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
M M / D D / Y Y Y Y
10 / 10 / 2013

Transaction ID : 21268056

Amount of Each Receipt this Period
1000.00

Contribution

B. Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

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

Name of Employer Occupation

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt
M M / D D / Y Y Y Y

Amount of Each Receipt this Period

C. Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

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

Name of Employer Occupation

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt
M M / D D / Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional).....▶	1000.00
TOTAL This Period (last page this line number only).....▶	30264.92

**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 26 OF 36
<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

A. HSBC Political Action Committee
 Full Name (Last, First, Middle Initial)
 Mailing Address 26525 N. Riverwoods Blvd.
 City Mettawa State IL Zip Code 60045
 FEC ID number of contributing federal political committee. **C** C00033423
 Name of Employer Occupation
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 2500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 07 / 2013
Transaction ID : 21192346
 Amount of Each Receipt this Period
 2500.00
 Contribution

B. Credit Suisse Securities (USA) Political Action Committee
 Full Name (Last, First, Middle Initial)
 Mailing Address 1201 F Street, NW Suite 450
 City Washington State DC Zip Code 20004
 FEC ID number of contributing federal political committee. **C** C00111559
 Name of Employer Occupation
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 5000.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 08 / 2013
Transaction ID : 21193317
 Amount of Each Receipt this Period
 5000.00
 Contribution

C. Principal Financial Group PAC
 Full Name (Last, First, Middle Initial)
 Mailing Address 711 High Street
 City Des Moines State IA Zip Code 50392
 FEC ID number of contributing federal political committee. **C** C00128918
 Name of Employer Occupation
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 2000.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 08 / 2013
Transaction ID : 21193318
 Amount of Each Receipt this Period
 2000.00
 Contribution

SUBTOTAL of Receipts This Page (optional).....▶	9500.00
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 27 OF 36
<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. Edward Jones PAC		Date of Receipt M M / D D / Y Y Y Y 10 / 22 / 2013
Mailing Address 12555 Manchester Road		Transaction ID : 21210772
City St. Louis	State MO	Zip Code 63131
FEC ID number of contributing federal political committee.	C C00410407	Amount of Each Receipt this Period 5000.00
Name of Employer	Occupation	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	

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

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

SUBTOTAL of Receipts This Page (optional).....▶	5000.00
TOTAL This Period (last page this line number only).....▶	14500.00

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

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

FOR LINE NUMBER: PAGE 28 OF 36
(check only one)
 11a 11b 11c 12
 13 14 15 16 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

A. Securities Industry and Financial Markets Association
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 Floor 35
 City New York State NY Zip Code 10271
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 1216.26

Date of Receipt
 M M / D D / Y Y Y Y Y Y
 10 / 30 / 2013
Transaction ID : 21218909
 Amount of Each Receipt this Period
 151.32
 Reimbursement of bank fees

B.
 Full Name (Last, First, Middle Initial)
 Mailing Address
 City State Zip Code
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼

Date of Receipt
 M M / D D / Y Y Y Y Y Y
 Amount of Each Receipt this Period

C.
 Full Name (Last, First, Middle Initial)
 Mailing Address
 City State Zip Code
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼

Date of Receipt
 M M / D D / Y Y Y Y Y Y
 Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional).....▶	151.32
TOTAL This Period (last page this line number only).....▶	151.32

**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

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. 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 : 21268025

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
Bank Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21268026

Amount of Each Disbursement this Period

Bank Fees

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)..... ▶

**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 type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" 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

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. Devin Nunes Campaign Committee

Mailing Address PO Box 6545

City Visalia State CA Zip Code 93290

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Devin G. Nunes

Category/Type

Office Sought: House Senate President
State: CA District: 21

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2013

Transaction ID : 21186957

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Ryan for Congress

Mailing Address Po Box 1919

City Jonesville State WI Zip Code 53547

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Paul Ryan

Category/Type

Office Sought: House Senate President
State: WI District: 01

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2013

Transaction ID : 21186961

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Michael Grimm For Congress

Mailing Address PO Box 61806

City Staten Island State NY Zip Code 10306

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Michael G. Grimm

Category/Type

Office Sought: House Senate President
State: NY District: 13

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2013

Transaction ID : 21186962

Amount of Each Disbursement this Period

2000.00

Contribution

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

4000.00

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 type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" 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

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. Conaway For Congress

Mailing Address PO Box 51272

City Midland State TX Zip Code 79710

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Michael K. Conaway

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: TX District: 11

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			02			2013			

Transaction ID : 21186968

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Terri Sewell For Congress

Mailing Address P.O. Box 1964

City Birmingham State AL Zip Code 35201

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Terri A. Sewell

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: AL District: 07

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			02			2013			

Transaction ID : 21186971

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of Dennis Ross

Mailing Address PO Box 7310

City Lakeland State FL Zip Code 33807

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Dennis A. Ross

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: FL District: 12

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			02			2013			

Transaction ID : 21186986

Amount of Each Disbursement this Period

1000.00

Contribution

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

3000.00

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 type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" 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

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. Charles Boustany Jr. Md For Congress, Inc.

Mailing Address PO Box 80126

City State Zip Code
Lafayette LA 70598

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Charles W. Boustany Jr.

Category/
Type

Office Sought: House
 Senate
 President
State: LA District: 07

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2013

Transaction ID : 21186989

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Jim Renacci For Congress

Mailing Address 150 Smokerise Drive

City State Zip Code
Wadsworth OH 44281

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. James B. Renacci

Category/
Type

Office Sought: House
 Senate
 President
State: OH District: 16

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2013

Transaction ID : 21186990

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of Dave Joyce

Mailing Address 320 Kenarden Drive

City State Zip Code
Cleveland OH 44143

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Dave Joyce

Category/
Type

Office Sought: House
 Senate
 President
State: OH District: 14

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2013

Transaction ID : 21187010

Amount of Each Disbursement this Period

1000.00

Contribution

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

3000.00

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 type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" 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

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. Vargas For Congress

Mailing Address 330 Encinitas Blvd., Suite 101

City Encinitas State CA Zip Code 92024

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Juan Vargas

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: CA District: 51

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			16			2013			

Transaction ID : 21205917

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Texans For Henry Cuellar Congressional Campaign

Mailing Address 1519 Washington Street
Suite 200

City Laredo State TX Zip Code 78040

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Henry Cuellar

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: TX District: 28

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			16			2013			

Transaction ID : 21205918

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Mchenry For Congress

Mailing Address PO Box 1406

City Hickory State NC Zip Code 28603

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Patrick Timothy McHenry

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: NC District: 10

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			16			2013			

Transaction ID : 21205919

Amount of Each Disbursement this Period

1000.00

Contribution

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

3000.00

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 type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" 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

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. Stabenow For Us Senate

Mailing Address P.O. Box 4945

City East Lansing State MI Zip Code 48826

Purpose of Disbursement Contribution

011

Candidate Name

Sen. Debbie Stabenow

Category/Type

Office Sought: House Senate President

Disbursement For: 2018 Primary General Other (specify) ▼

State: MI District:

Date of Disbursement

MM / DD / YYYY
10 / 16 / 2013

Transaction ID : 21205921

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Crenshaw For Congress Campaign

Mailing Address 4963 Beach Boulevard

City Jacksonville State FL Zip Code 32207

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Ander Crenshaw

Category/Type

Office Sought: House Senate President

Disbursement For: 2014 Primary General Other (specify) ▼

State: FL District: 04

Date of Disbursement

MM / DD / YYYY
10 / 24 / 2013

Transaction ID : 21214585

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Steve Daines For Montana

Mailing Address PO Box 1598

City Helena State MT Zip Code 59624

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Steve Daines

Category/Type

Office Sought: House Senate President

Disbursement For: 2014 Primary General Other (specify) ▼

State: MT District: 00

Date of Disbursement

MM / DD / YYYY
10 / 24 / 2013

Transaction ID : 21214586

Amount of Each Disbursement this Period

1000.00

Contribution

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

3000.00

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 type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" 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

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. Jim Gerlach For Congress Committee

Mailing Address PO Box 87

City Uwchland State PA Zip Code 19480

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. James W. Gerlach

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: PA District: 06

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		24		2013

Transaction ID : 21214590

Amount of Each Disbursement this Period

1000.00

Contribution

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

Disbursement For:
 Primary General
 Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y

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

Disbursement For:
 Primary General
 Other (specify) ▼

State: District:

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y

Amount of Each Disbursement this Period

--

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

1000.00

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

21500.00
