

**SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS**

FEC Form 3X (Rev. 02/2003)

Page 2

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="2011"/>		256466.58
(b) Cash on Hand at Beginning of Reporting Period.....	248432.58	
(c) Total Receipts (from Line 19)	2833.49	135211.25
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	251266.07	391677.83
7. Total Disbursements (from Line 31).....	19721.15	160132.91
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)).....	231544.92	231544.92
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

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

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

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A).....	2473.64	91632.05
(ii) Unitemized	138.70	6685.20
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ▶	2612.34	98317.25
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	30500.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5)	2612.34	128817.25
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).....	0.00	1020.60
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....	0.00	5000.00
17. Other Federal Receipts (Dividends, Interest, etc.).....	221.15	373.40
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))..... ▶	2833.49	135211.25
20. Total Federal Receipts (subtract Line 18(c) from Line 19)..... ▶	2833.49	135211.25

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	221.15	1394.00
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	221.15	1394.00
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	19500.00	158500.00
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	238.91
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)) ..	19721.15	160132.91
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	19721.15	160132.91

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)	2612.34	128817.25
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	2612.34	128817.25
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	221.15	1394.00
37. Offsets to Operating Expenditures (from Line 15, page 3).....	0.00	1020.60
38. Net Operating Expenditures (subtract Line 37 from Line 36)	221.15	373.40

**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 22
	<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. Mr. Dave Davies
 Full Name (Last, First, Middle Initial)
 Mailing Address 102 Mountainview Place
 City State Zip Code
 Painted Post NY 14870-9135
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 RBC Wealth Management Branch Director
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 09 / 07 / 2011
Transaction ID : 19344179
 Amount of Each Receipt this Period
 500.00
 Contribution

B. Mr. Brad C. Fisher
 Full Name (Last, First, Middle Initial)
 Mailing Address 272 Adair Drive
 City State Zip Code
 Richland WA 99352-9453
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 RBC Wealth Management SVP/Branch 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
 09 / 07 / 2011
Transaction ID : 19344181
 Amount of Each Receipt this Period
 250.00
 Contribution

C. Mr. Thomas F Price
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City State Zip Code
 New York NY 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Securities Industry and Financial Mark Managing Director
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 693.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 09 / 09 / 2011
Transaction ID : 19346268
 Amount of Each Receipt this Period
 38.50
 Contribution

SUBTOTAL of Receipts This Page (optional).....▶	788.50
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 22
	<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

Full Name (Last, First, Middle Initial) A. Ms. Lisa Bleier		Date of Receipt MM / DD / YYYY 09 / 09 / 2011 Transaction ID : 19346269
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 ▼ 288.45	

Full Name (Last, First, Middle Initial) B. Ms. Bradley Gaskins Edgell		Date of Receipt MM / DD / YYYY 09 / 09 / 2011 Transaction ID : 19346270
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	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 ▼ 577.50	

Full Name (Last, First, Middle Initial) C. Mr. Kenneth E. Bentsen Jr.		Date of Receipt MM / DD / YYYY 09 / 09 / 2011 Transaction ID : 19346271
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 EVP, Public Policy and Advocacy	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 3462.30	

SUBTOTAL of Receipts This Page (optional).....▶	250.08
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 22
	<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. 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 **288.45**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 09 / 09 / 2011
Transaction ID : 19346272
 Amount of Each Receipt this Period
19.23

B. 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 **539.00**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 09 / 09 / 2011
Transaction ID : 19346273
 Amount of Each Receipt this Period
38.50

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 **1246.14**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 09 / 09 / 2011
Transaction ID : 19346274
 Amount of Each Receipt this Period
69.23

SUBTOTAL of Receipts This Page (optional).....	126.96
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 9 OF 22
<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. 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 ▼ 1800.00

Date of Receipt: 09 / 09 / 2011
Transaction ID : 19346275
 Amount of Each Receipt this Period: 100.00

B. Mr. James McHale
 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, Associate General C
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 288.45

Date of Receipt: 09 / 09 / 2011
Transaction ID : 19346276
 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 ▼ 924.00

Date of Receipt: 09 / 09 / 2011
Transaction ID : 19346277
 Amount of Each Receipt this Period: 77.00

SUBTOTAL of Receipts This Page (optional)..... ▶ 196.23
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 10 OF 22
	<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. 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 ▼ 1634.65

Date of Receipt 09 / 09 / 2011
Transaction ID : 19346280
 Amount of Each Receipt this Period 0.10

B. Matthew McGinley
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Avenue, NW 8th FL
 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 ▼ 1000.00

Date of Receipt 09 / 16 / 2011
Transaction ID : 19440204
 Amount of Each Receipt this Period 500.00
 Contribution

C. Mr. Thomas F Price
 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 ▼ 731.50

Date of Receipt 09 / 21 / 2011
Transaction ID : 19440318
 Amount of Each Receipt this Period 38.50

SUBTOTAL of Receipts This Page (optional)..... ▶ 538.60
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 22
	<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

Full Name (Last, First, Middle Initial) A. Ms. Lisa Bleier		Date of Receipt MM / DD / YYYY 09 / 21 / 2011 Transaction ID : 19440319
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 ▼ 307.68	

Full Name (Last, First, Middle Initial) B. Ms. Bradley Gaskins Edgell		Date of Receipt MM / DD / YYYY 09 / 21 / 2011 Transaction ID : 19440320
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
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 ▼ 616.00	

Full Name (Last, First, Middle Initial) C. Mr. Kenneth E. Bentsen Jr.		Date of Receipt MM / DD / YYYY 09 / 21 / 2011 Transaction ID : 19440321
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 EVP, Public Policy and Advocacy	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 3654.65	

SUBTOTAL of Receipts This Page (optional).....▶	250.08
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 22
	<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 **1315.37**

Date of Receipt **09 / 21 / 2011**
Transaction ID : 19440322
 Amount of Each Receipt this Period **69.23**

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 **1900.00**

Date of Receipt **09 / 21 / 2011**
Transaction ID : 19440323
 Amount of Each Receipt this Period **100.00**

C. Mr. James McHale
 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, Associate General C
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **307.68**

Date of Receipt **09 / 21 / 2011**
Transaction ID : 19440324
 Amount of Each Receipt this Period **19.23**

SUBTOTAL of Receipts This Page (optional)..... **188.46**
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 13 OF 22
	<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

Full Name (Last, First, Middle Initial) A. Ms. Kyle Brandon		Date of Receipt MM / DD / YYYY 09 / 21 / 2011 Transaction ID : 19440325
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 77.00
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 1001.00
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 MM / DD / YYYY 09 / 21 / 2011 Transaction ID : 19440328
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 ▼ 577.50
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. Ms. Lisa Fues		Date of Receipt MM / DD / YYYY 09 / 21 / 2011 Transaction ID : 19440329
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).....▶	134.73
TOTAL This Period (last page this line number only).....▶	2473.64

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 22
<input 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 checked="" type="checkbox"/> 17	

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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 ▼
1394.00

Date of Receipt
M M / D D / Y Y Y Y Y Y
09 / 16 / 2011

Transaction ID : 19440364

Amount of Each Receipt this Period
221.15

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).....▶	221.15
TOTAL This Period (last page this line number only).....▶	221.15

**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
Bank Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 19440360

Amount of Each Disbursement this Period

Bank 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 : 19440361

Amount of Each Disbursement this Period

Bank 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 : 19440362

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
Bank Fees

001
Category/ Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		02		2011

Transaction ID : 19440363

Amount of Each Disbursement this Period

7.66

Bank 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

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
State: District:

Disbursement For: Primary General Other (specify) ▼

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)..... ▶

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

7.66

221.15

**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

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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. 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 Sewell

Category/Type

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

Disbursement For: 2012
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
09 / 20 / 2011

Transaction ID : 19391959

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Diane Black For Congress

Mailing Address 819 Plantation Blvd

City Gallatin State TN Zip Code 37066

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Diane Black

Category/Type

Office Sought: House Senate President
State: TN District: 06

Disbursement For: 2012
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
09 / 20 / 2011

Transaction ID : 19391960

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of Sam Johnson

Mailing Address P.O. Box 860096

City Plano State TX Zip Code 75086

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Samuel Johnson

Category/Type

Office Sought: House Senate President
State: TX District: 03

Disbursement For: 2012
 Primary General
 Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
09 / 23 / 2011

Transaction ID : 19397624

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

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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. Mcconnell Senate Committee '14

Mailing Address PO Box 1496

City Louisville State KY Zip Code 40201

Purpose of Disbursement
Contribution

Candidate Name

Office Sought: House
 Senate
 President
State: KY District:

Disbursement For: 2014
 Primary General
 Other (specify) ▼

011
Category/
Type

Date of Disbursement

MM / DD / YYYY
09 / 23 / 2011

Transaction ID : 19397629

Amount of Each Disbursement this Period

5000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Montanans For Tester

Mailing Address PO Box 1135

City Helena State MT Zip Code 59624

Purpose of Disbursement
Contribution

Candidate Name

Sen. Jon Tester

Office Sought: House
 Senate
 President
State: MT District:

Disbursement For: 2012
 Primary General
 Other (specify) ▼

011
Category/
Type

Date of Disbursement

MM / DD / YYYY
09 / 23 / 2011

Transaction ID : 19397630

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Lynn Westmoreland For Congress

Mailing Address PO Box 458

City Sharpsburg State GA Zip Code 30277

Purpose of Disbursement
Contribution

Candidate Name

Rep. Lynn Westmoreland

Office Sought: House
 Senate
 President
State: GA District: 08

Disbursement For: 2012
 Primary General
 Other (specify) ▼

011
Category/
Type

Date of Disbursement

MM / DD / YYYY
09 / 23 / 2011

Transaction ID : 19397661

Amount of Each Disbursement this Period

500.00

Contribution

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

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

6500.00

**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

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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. Citizens For Altmire

Mailing Address P.O. Box 1776

City Freedom State PA Zip Code 15042

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Jason Altmire

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: PA District: 04

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	9		2	3		2	0	1	1

Transaction ID : 19397670

Amount of Each Disbursement this Period

1	0	0	0	0	0	0	0	0	0
---	---	---	---	---	---	---	---	---	---

Contribution

Full Name (Last, First, Middle Initial)

B. Tom Reed For Congress

Mailing Address P.O. Box 450

City Victor State NY Zip Code 14564

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Tom Reed

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: NY District: 29

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	9		2	3		2	0	1	1

Transaction ID : 19397673

Amount of Each Disbursement this Period

1	0	0	0	0	0	0	0	0	0
---	---	---	---	---	---	---	---	---	---

Contribution

Full Name (Last, First, Middle Initial)

C. Michael Grimm For Congress

Mailing Address 560 9th Street

City Brooklyn State NY Zip Code 11215

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Michael Grimm

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: NY District: 13

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	9		2	3		2	0	1	1

Transaction ID : 19397696

Amount of Each Disbursement this Period

1	0	0	0	0	0	0	0	0	0
---	---	---	---	---	---	---	---	---	---

Contribution

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

3	0	0	0	0	0	0	0	0	0
---	---	---	---	---	---	---	---	---	---

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

3	0	0	0	0	0	0	0	0	0
---	---	---	---	---	---	---	---	---	---

**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

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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. Neugebauer Congressional Committee

Mailing Address PO Box 54175

City Lubbock State TX Zip Code 79453

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Randy R. Neugebauer

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: TX District: 19

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	9		2	3		2	0	1	1

Transaction ID : 19397709

Amount of Each Disbursement this Period

1	0	0	0	0	0	0	0	0	0

Contribution

Full Name (Last, First, Middle Initial)

B. Friends Of Carolyn Mccarthy

Mailing Address 151 Linden Road

City Mineola State NY Zip Code 11501

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Carolyn McCarthy

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: NY District: 04

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	9		2	3		2	0	1	1

Transaction ID : 19397718

Amount of Each Disbursement this Period

1	0	0	0	0	0	0	0	0	0

Contribution

Full Name (Last, First, Middle Initial)

C. Andre Carson For Congress

Mailing Address P.O. Box 1863

City Indianapolis State IN Zip Code 46206

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Andre Carson

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: IN District: 07

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	9		2	3		2	0	1	1

Transaction ID : 19397730

Amount of Each Disbursement this Period

1	0	0	0	0	0	0	0	0	0

Contribution

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

3	0	0	0	0	0	0	0	0	0

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

3	0	0	0	0	0	0	0	0	0

**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

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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. Stivers For Congress

Mailing Address 4679 Winterset Drive

City Columbus State OH Zip Code 43220

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Steve Stivers

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: OH District: 15

Date of Disbursement

M M / D D / Y Y Y Y Y Y
09 / 26 / 2011

Transaction ID : 19398339

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 / 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 / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

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

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

1000.00

19500.00