

FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

Office Use Only

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

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

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

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

5. Covering Period 04 01 2010 through 04 30 2010

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Kenneth E. Bentsen, Jr.

Signature of Treasurer Electronically Filed by Mr. Kenneth E. Bentsen, Jr. Date 05 17 2010

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

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

**SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS**

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

Report Covering the Period: From:

M	M
0	4

D	D
0	1

Y	Y	Y	Y
2	0	1	0

 To:

M	M
0	4

D	D
3	0

Y	Y	Y	Y
2	0	1	0

	COLUMN A This Period	COLUMN B Calendar Year-to-Date								
6. (a) Cash on Hand January 1 <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr><tr><td>2</td><td>0</td><td>1</td><td>0</td></tr></table>	Y	Y	Y	Y	2	0	1	0		111977.94
Y	Y	Y	Y							
2	0	1	0							
(b) Cash on Hand at Beginning of Reporting Period	131194.77									
(c) Total Receipts (from Line 19)	47075.91	135475.86								
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	178270.68	247453.80								
7. Total Disbursements (from Line 31)	7134.25	76317.37								
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	171136.43	171136.43								
9. Debts and Obligations owed TO the committee (Itemize all on Schedule C and/or Schedule D)	0.00									
10. Debts and Obligations owed BY the committee (Itemize all on Schedule C and/or Schedule D)	0.00									

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

For further information contact:

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

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

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)	30265.90	82908.85
(ii) Unitemized	1175.76	10749.64
(iii) TOTAL (add Lines 11(a)(i) and (ii)	31441.66	93658.49
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	10000.00	35000.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	41441.66	128658.49
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)	634.25	1817.37
16. Refunds of Contributions Made to Federal candidates and Other Political Committees	5000.00	5000.00
17. Other Federal Receipts (Dividends, Interest, etc.)	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3)	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	47075.91	135475.86
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	47075.91	135475.86

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

II. DISBURSEMENTS	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Shared Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share.....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures.....	634.25	1817.37
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ▶	634.25	1817.37
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	6500.00	74500.00
24. Independent Expenditure (use Schedule E)	0.00	0.00
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	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) Shared Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	7134.25	76317.37
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	7134.25	76317.37

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

5 / 29

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)	41441.66	128658.49
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	41441.66	128658.49
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	634.25	1817.37
37. Offsets to Operating Expenditures (from Line 15, page 3)	634.25	1817.37
38. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	0.00

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:	PAGE 6 / 29
	(check only one)	
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15
<input type="checkbox"/> 12	<input checked="" 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.	Full Name (Last, First, Middle Initial) Friends Of Chris Dodd		Date of Receipt
	Mailing Address PO Box 270701		<input type="text" value="04"/> / <input type="text" value="01"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	West Hartford	CT	06127
	FEC ID number of contributing federal political committee.		<input type="text" value="C00347310"/>
	Name of Employer		Occupation
Receipt For: 2010		Aggregate Year-to-Date ▼	Transaction ID: 18127731
<input type="checkbox"/> Primary	<input checked="" type="checkbox"/> General	<input type="text" value="5000.00"/>	Amount of Each Receipt this Period
<input type="checkbox"/> Other (specify) ▼			<input type="text" value="5000.00"/>
			Refund of contribution

SUBTOTAL of Receipts This Page (optional)	<input type="text" value="5000.00"/>
TOTAL This Period (last page this line number only)	<input type="text" value="5000.00"/>

**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 / 29
	<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.	Full Name (Last, First, Middle Initial) Mr. Paul J. Taubman	Date of Receipt MM / DD / YYYY 04 / 01 / 2010
	Mailing Address 1585 Broadway	Transaction ID: 18161026
	City State Zip Code New York NY 10036-8204	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Morgan Stanley Senior Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

B.	Full Name (Last, First, Middle Initial) Ms. Karen C. Jamesley	Date of Receipt MM / DD / YYYY 04 / 01 / 2010
	Mailing Address 1221 Avenue of the Americas 40th Floor	Transaction ID: 18163378
	City State Zip Code New York NY 10020-1001	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Morgan Stanley Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

C.	Full Name (Last, First, Middle Initial) Mr. Andy Saperstein	Date of Receipt MM / DD / YYYY 04 / 01 / 2010
	Mailing Address 2000 Westchester Avenue	Transaction ID: 18163420
	City State Zip Code Purchase NY 10577-2530	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Morgan Stanley Smith Barney Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

SUBTOTAL of Receipts This Page (optional)	2500.00
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: PAGE 8 / 29
(check only one)
 11a 11b 11c 12
 13 14 15 16 17

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

<p>A. Full Name (Last, First, Middle Initial) Mr. Charles D. Johnston</p> <p>Mailing Address 2000 Westchester Avenue</p> <p>City State Zip Code Purchase NY 10577-2530</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Morgan Stanley Smith Barney Managing Director</p> <p>Receipt For: Aggregate Year-to-Date ▼ <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ 1000.00</p>	<p>Date of Receipt M M / D D / Y Y Y Y 0 4 / 0 2 / 2 0 1 0</p> <p>Transaction ID: 18165964</p> <p>Amount of Each Receipt this Period 1000.00</p> <p>Contribution</p>
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<p>B. Full Name (Last, First, Middle Initial) Mr. Stephen C. Dafford</p> <p>Mailing Address 17 Sycamore Court</p> <p>City State Zip Code Ramsey NJ 07446-2700</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Morgan Stanley Managing Director</p> <p>Receipt For: Aggregate Year-to-Date ▼ <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ 250.00</p>	<p>Date of Receipt M M / D D / Y Y Y Y 0 4 / 0 8 / 2 0 1 0</p> <p>Transaction ID: 18170929</p> <p>Amount of Each Receipt this Period 250.00</p> <p>Contribution</p>
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<p>C. Full Name (Last, First, Middle Initial) Mr. Tim O'Neal Lorah</p> <p>Mailing Address 364 W. 46th Street, #2</p> <p>City State Zip Code New York NY 10036-3920</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Morgan Stanley Managing Director</p> <p>Receipt For: Aggregate Year-to-Date ▼ <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ 250.00</p>	<p>Date of Receipt M M / D D / Y Y Y Y 0 4 / 0 8 / 2 0 1 0</p> <p>Transaction ID: 18170930</p> <p>Amount of Each Receipt this Period 250.00</p> <p>Contribution</p>
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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: PAGE 9 / 29
(check only one)

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

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

<p>A. Full Name (Last, First, Middle Initial) Mr William A. Johnstone</p> <p>Mailing Address 219 3rd Avenue North</p> <p>City State Zip Code Great Falls MT 59401-2418</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Davidson Companies President & CEO</p> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼ 2500.00</p>	<p>Date of Receipt M M / D D / Y Y Y Y 04 / 08 / 2010</p> <p>Transaction ID: 18170931</p> <p>Amount of Each Receipt this Period 2500.00</p> <p>Contribution</p>
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<p>B. Full Name (Last, First, Middle Initial) Mr. Jay Dweck</p> <p>Mailing Address 14 Patriots Farr Place</p> <p>City State Zip Code Armonk NY 10504-2804</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Morgan Stanley Managing Director</p> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼ 1000.00</p>	<p>Date of Receipt M M / D D / Y Y Y Y 04 / 07 / 2010</p> <p>Transaction ID: 18170932</p> <p>Amount of Each Receipt this Period 1000.00</p> <p>Contribution</p>
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<p>C. Full Name (Last, First, Middle Initial) Mr. C. Kent Christian</p> <p>Mailing Address 600 Warson Road</p> <p>City State Zip Code Saint Louis MO 63124-1255</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Wells Fargo Advisors President, FSG</p> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼ 5000.00</p>	<p>Date of Receipt M M / D D / Y Y Y Y 04 / 07 / 2010</p> <p>Transaction ID: 18170957</p> <p>Amount of Each Receipt this Period 5000.00</p> <p>Contribution</p>
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SUBTOTAL of Receipts This Page (optional)	8500.00
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: PAGE 10 / 29
(check only one)

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

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

A.

Full Name (Last, First, Middle Initial)
Mr. John Faulkner

Mailing Address 48 Mercer Street, #5W

City State Zip Code
New York NY 10013-2745

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

Name of Employer Occupation
Morgan Stanley Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
250.00

Date of Receipt
MM / DD / YYYY
04 / 06 / 2010

Transaction ID: 18170958

Amount of Each Receipt this Period
250.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Stuart H. Bohart

Mailing Address 225 West 86th Street
Apt #711

City State Zip Code
New York NY 10024-3344

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

Name of Employer Occupation
Morgan Stanley Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
500.00

Date of Receipt
MM / DD / YYYY
04 / 09 / 2010

Transaction ID: 18174595

Amount of Each Receipt this Period
500.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Joe Dagostino

Mailing Address 258 Country Club Road

City State Zip Code
New Canaan CT 06840-3112

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

Name of Employer Occupation
Morgan Stanley Smith Barney Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
500.00

Date of Receipt
MM / DD / YYYY
04 / 12 / 2010

Transaction ID: 18180199

Amount of Each Receipt this Period
500.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **1250.00**

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: PAGE 11 / 29
(check only one)

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

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

A.

Full Name (Last, First, Middle Initial) Mr. Craig D. Pfeiffer		Date of Receipt MM / DD / YYYY 04 / 12 / 2010
Mailing Address 14 Auserehl Court		Transaction ID: 18180217
City Huntington	State NY	Zip Code 11743-2270
FEC ID number of contributing federal political committee. C		Amount of Each Receipt this Period 1000.00
Name of Employer Morgan Stanley Smith Barney	Occupation Managing Director	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

B.

Full Name (Last, First, Middle Initial) Mr. Donald J. Ginnetti		Date of Receipt MM / DD / YYYY 04 / 12 / 2010
Mailing Address 923 Sanctuary Lane		Transaction ID: 18180224
City Maineville	State OH	Zip Code 45039-7739
FEC ID number of contributing federal political committee. C		Amount of Each Receipt this Period 250.00
Name of Employer D.A. Davidson & Company	Occupation Senior Vice President	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

C.

Full Name (Last, First, Middle Initial) Hy Saporta		Date of Receipt MM / DD / YYYY 04 / 13 / 2010
Mailing Address 254 East 68th Street		Transaction ID: 18180228
City New York	State NY	Zip Code 10065-6012
FEC ID number of contributing federal political committee. C		Amount of Each Receipt this Period 300.00
Name of Employer Morgan Stanley	Occupation Managing Director	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 300.00	

SUBTOTAL of Receipts This Page (optional)	▶	1550.00
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 12 / 29
	<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.	Full Name (Last, First, Middle Initial) Mr. Thomas F Price	Date of Receipt MM / DD / YYYY 04 / 09 / 2010
	Mailing Address 585 Farview Avenue	Transaction ID: 18180259
	City State Zip Code Wyckoff NJ 07481-1141	Amount of Each Receipt this Period 38.50
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark	
Occupation Managing Director	Aggregate Year-to-Date 269.50	

B.	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt MM / DD / YYYY 04 / 09 / 2010
	Mailing Address 8424 Frost Way	Transaction ID: 18180260
	City State Zip Code Annandale VA 22003-2221	Amount of Each Receipt this Period 96.20
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark	
Occupation Managing Director	Aggregate Year-to-Date 673.40	

C.	Full Name (Last, First, Middle Initial) Ms. Margaret Simmons	Date of Receipt MM / DD / YYYY 04 / 09 / 2010
	Mailing Address 4743 Bradley Blvd. Number 304	Transaction ID: 18180263
	City State Zip Code Chevy Chase MD 20815	Amount of Each Receipt this Period 96.20
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark	
Occupation Managing Director	Aggregate Year-to-Date 673.40	

SUBTOTAL of Receipts This Page (optional)	230.90
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 / 29
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 11b <input type="checkbox"/> 11c <input type="checkbox"/> 12	
	<input type="checkbox"/> 13 <input type="checkbox"/> 14 <input type="checkbox"/> 15 <input type="checkbox"/> 16 <input type="checkbox"/> 17	

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

A.	Full Name (Last, First, Middle Initial) Mr. John Hallmark	Date of Receipt MM / DD / YYYY 04 / 09 / 2010
	Mailing Address 1101 New York Ave, NW 8th Floor	Transaction ID: 18180265
	City State Zip Code Washington DC 20005-4269	Amount of Each Receipt this Period 38.50
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 231.00	

B.	Full Name (Last, First, Middle Initial) Ms. N. Ellen McCarthy	Date of Receipt MM / DD / YYYY 04 / 09 / 2010
	Mailing Address 1101 New York Ave, NW 8th Floor	Transaction ID: 18180268
	City State Zip Code Washington DC 20005-4269	Amount of Each Receipt this Period 38.50
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 231.00	

C.	Full Name (Last, First, Middle Initial) Mr. Kenneth E. Bentsen, Jr.	Date of Receipt MM / DD / YYYY 04 / 09 / 2010
	Mailing Address 1101 New York Ave, NW 8th Floor	Transaction ID: 18180339
	City State Zip Code Washington DC 20005-4269	Amount of Each Receipt this Period 192.35
	FEC ID number of contributing federal political committee. C	Contribution
	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 ▼ 1346.45	

SUBTOTAL of Receipts This Page (optional)	269.35
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: PAGE 14 / 29

(check only one)

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City State Zip Code
Port Monmouth NJ 07758-1676

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 ▼ 403.90

Date of Receipt

M M / D D / Y Y Y Y Y
0 4 / 0 9 / 2 0 1 0

Transaction ID: 18180340

Amount of Each Receipt this Period

57.70

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 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 ▼ 700.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 4 / 0 9 / 2 0 1 0

Transaction ID: 18180342

Amount of Each Receipt this Period

100.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. John Palazzetti

Mailing Address P.O. Box 199

City State Zip Code
New Vernon NJ 07976-0199

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

Name of Employer Morgan Stanley Smith Barney Occupation Managing Director

Receipt For: Primary General Other (specify) ▼ Aggregate Year-to-Date ▼ 500.00

Date of Receipt

M M / D D / Y Y Y Y Y
0 4 / 1 4 / 2 0 1 0

Transaction ID: 18184353

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

657.70

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 15 / 29
(check only one)

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

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

A. Full Name (Last, First, Middle Initial)
Mr. Jeffrey F. DiModica

Mailing Address 184 Atlantic Ave

City State Zip Code
Cohasset MA 02025-1433

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

Name of Employer Occupation
RBS Securities Senior Managing Director

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 1500.00

Date of Receipt: 04 / 15 / 2010
Transaction ID: 18184354
Amount of Each Receipt this Period: 1500.00
Contribution

B. Full Name (Last, First, Middle Initial)
Mr. Joseph Brady

Mailing Address 5270 Sanford Circle East

City State Zip Code
Englewood CO 80113-5106

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

Name of Employer Occupation
D.A. Davidson & Company Senior Vice President

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 04 / 14 / 2010
Transaction ID: 18186349
Amount of Each Receipt this Period: 250.00
Contribution

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

Mailing Address 501 Adams Street, #4A

City State Zip Code
Hoboken NJ 07030-2048

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

Name of Employer Occupation
Morgan Stanley Smith Barney Executive Director

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 04 / 15 / 2010
Transaction ID: 18186350
Amount of Each Receipt this Period: 250.00
Contribution

SUBTOTAL of Receipts This Page (optional) ▶ 2000.00

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: PAGE 16 / 29

(check only one)

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

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

A.	Full Name (Last, First, Middle Initial) Mr. Michael Armstrong		Date of Receipt
	Mailing Address 265 Locust Avenue		<input type="text" value="04"/> / <input type="text" value="15"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	Rye	NY	10580-1636
	FEC ID number of contributing federal political committee. C		Transaction ID: 18187531
Name of Employer Morgan Stanley		Occupation Managing Director	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼	<input type="text" value="500.00"/>
			Contribution

B.	Full Name (Last, First, Middle Initial) Mr. Benjamin C. Huneke		Date of Receipt
	Mailing Address 26 East 93rd Street Apt. 4CD		<input type="text" value="04"/> / <input type="text" value="19"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	New York	NY	10128-0626
	FEC ID number of contributing federal political committee. C		Transaction ID: 18189313
Name of Employer Morgan Stanley Smith Barn-ey		Occupation Managing Director	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼	<input type="text" value="350.00"/>
			Contribution

C.	Full Name (Last, First, Middle Initial) Mr. James J. Tracy		Date of Receipt
	Mailing Address 10249 Windsor Way		<input type="text" value="04"/> / <input type="text" value="20"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	Powell	OH	43065-8759
	FEC ID number of contributing federal political committee. C		Transaction ID: 18189326
Name of Employer Morgan Stanley Smith Barn-ey		Occupation Managing Director	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼	<input type="text" value="250.00"/>
			Contribution

SUBTOTAL of Receipts This Page (optional) ▶

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

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 17 / 29

(check only one)

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

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

A.	Full Name (Last, First, Middle Initial) Mr. Douglas A. Woodcock		Date of Receipt
	Mailing Address 16700 Greenbrier Road		<input type="text" value="04"/> / <input type="text" value="20"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	Lake Oswego	OR	97034-5727
FEC ID number of contributing federal political committee.		<input type="text" value="C"/>	Transaction ID: 18189330
Name of Employer D.A. Davidson & Company		Occupation Managing Director	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ <input type="text" value="500.00"/>	<input type="text" value="500.00"/>
			Contribution

B.	Full Name (Last, First, Middle Initial) Mr. Richard A. Skae		Date of Receipt
	Mailing Address 208 Canoe Hill Road		<input type="text" value="04"/> / <input type="text" value="21"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	New Canaan	CT	06840-3707
FEC ID number of contributing federal political committee.		<input type="text" value="C"/>	Transaction ID: 18194801
Name of Employer Morgan Stanley Smith Barney		Occupation Managing Director	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ <input type="text" value="250.00"/>	<input type="text" value="250.00"/>
			Contribution

C.	Full Name (Last, First, Middle Initial) Mr. Thomas F Price		Date of Receipt
	Mailing Address 585 Farview Avenue		<input type="text" value="04"/> / <input type="text" value="23"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	Wyckoff	NJ	07481-1141
FEC ID number of contributing federal political committee.		<input type="text" value="C"/>	Transaction ID: 18194809
Name of Employer Securities Industry and Financial Mark		Occupation Managing Director	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ <input type="text" value="308.00"/>	<input type="text" value="38.50"/>
			Contribution

SUBTOTAL of Receipts This Page (optional) ▶

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

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 18 / 29

(check only one)

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

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

A.	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt MM / DD / YYYY 04 / 23 / 2010
	Mailing Address 8424 Frost Way	Transaction ID: 18194811
	City Annandale State VA Zip Code 22003-2221	Amount of Each Receipt this Period 96.20
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 769.60	

B.	Full Name (Last, First, Middle Initial) Ms. Margaret Simmons	Date of Receipt MM / DD / YYYY 04 / 23 / 2010
	Mailing Address 4743 Bradley Blvd. Number 304	Transaction ID: 18194812
	City Chevy Chase State MD Zip Code 20815	Amount of Each Receipt this Period 96.20
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 769.60	

C.	Full Name (Last, First, Middle Initial) Mr. John Hallmark	Date of Receipt MM / DD / YYYY 04 / 23 / 2010
	Mailing Address 1101 New York Ave, NW 8th Floor	Transaction ID: 18194817
	City Washington State DC Zip Code 20005-4269	Amount of Each Receipt this Period 38.50
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 269.50	

SUBTOTAL of Receipts This Page (optional) ▶

230.90

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 / 29
	<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.	Full Name (Last, First, Middle Initial) Ms. N. Ellen McCarthy	Date of Receipt MM / DD / YYYY 04 / 23 / 2010
	Mailing Address 1101 New York Ave, NW 8th Floor	Transaction ID: 18194819
	City State Zip Code Washington DC 20005-4269	Amount of Each Receipt this Period 38.50
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 269.50	

B.	Full Name (Last, First, Middle Initial) Mr. Kenneth E. Bentsen, Jr.	Date of Receipt MM / DD / YYYY 04 / 23 / 2010
	Mailing Address 1101 New York Ave, NW 8th Floor	Transaction ID: 18194820
	City State Zip Code Washington DC 20005-4269	Amount of Each Receipt this Period 192.35
	FEC ID number of contributing federal political committee. C	Contribution
	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 ▼ 1538.80	

C.	Full Name (Last, First, Middle Initial) Marin E. Gibson	Date of Receipt MM / DD / YYYY 04 / 23 / 2010
	Mailing Address 796 Port Monmouth Rd.	Transaction ID: 18194821
	City State Zip Code Port Monmouth NJ 07758-1676	Amount of Each Receipt this Period 57.70
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark Occupation Managing Director & Counsel Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 461.60	

SUBTOTAL of Receipts This Page (optional)	288.55
TOTAL This Period (last page this line number only)	

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 20 / 29
(check only one)

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

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

A.

Full Name (Last, First, Middle Initial)
Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 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 ▼
800.00

Date of Receipt
M M / D D / Y Y Y Y Y
0 4 / 2 3 / 2 0 1 0

Transaction ID: 18194823

Amount of Each Receipt this Period
100.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Jonathan B. Kindred

Mailing Address 1585 Broadway

City State Zip Code
New York NY 10036-8204

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 ▼
500.00

Date of Receipt
M M / D D / Y Y Y Y Y
0 4 / 2 6 / 2 0 1 0

Transaction ID: 18194825

Amount of Each Receipt this Period
500.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. John Murdock

Mailing Address 8 Wee Burn Lane

City State Zip Code
Darien CT 06820-3223

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

Name of Employer RBS Securities
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 Y
0 4 / 2 6 / 2 0 1 0

Transaction ID: 18194833

Amount of Each Receipt this Period
1000.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **1600.00**

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 / 29
	<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.	Full Name (Last, First, Middle Initial) Mr. James W. Brinkley	Date of Receipt MM / DD / YYYY 04 / 26 / 2010
	Mailing Address 650 South Exeter Street Suite 1050	Transaction ID: 18194836
	City State Zip Code Baltimore MD 21202-4573	Amount of Each Receipt this Period 300.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Morgan Stanley Smith Barney Occupation Vice Chairman Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
Aggregate Year-to-Date ▼ 300.00		

B.	Full Name (Last, First, Middle Initial) Mr. Scott Anderson	Date of Receipt MM / DD / YYYY 04 / 26 / 2010
	Mailing Address 25363 NE Butteville Road	Transaction ID: 18197254
	City State Zip Code Aurora OR 97002-8536	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer D.A. Davidson & Company Occupation Senior Vice President Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
Aggregate Year-to-Date ▼ 500.00		

C.	Full Name (Last, First, Middle Initial) Mr. Joseph E. Sweeney	Date of Receipt MM / DD / YYYY 04 / 28 / 2010
	Mailing Address 155 Soundview Lane	Transaction ID: 18197796
	City State Zip Code New Canaan CT 06840-2734	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Ameriprise Financial, Inc. Occupation President, Advice & Wealth Management Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	
Aggregate Year-to-Date ▼ 1000.00		

SUBTOTAL of Receipts This Page (optional)	▶	1800.00
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 22 / 29
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 11b <input type="checkbox"/> 11c <input type="checkbox"/> 12 <input type="checkbox"/> 13 <input type="checkbox"/> 14 <input type="checkbox"/> 15 <input type="checkbox"/> 16 <input type="checkbox"/> 17	

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

A.	Full Name (Last, First, Middle Initial) Mr. Lawrence S. Zebko	Date of Receipt MM / DD / YYYY 04 / 27 / 2010
	Mailing Address 6715 Leytonstone	Transaction ID: 18197797
	City State Zip Code West Bloomfield MI 48322-1241	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Raymond James Financial, Inc. Occupation Financial Advisor	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

B.	Full Name (Last, First, Middle Initial) Mr. Andrew I. Davidson	Date of Receipt MM / DD / YYYY 04 / 28 / 2010
	Mailing Address 20 Prospect Drive	Transaction ID: 18198220
	City State Zip Code Great Falls MT 59405-4121	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer D.A. Davidson & Company Occupation President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

C.	Full Name (Last, First, Middle Initial) Ms. Blythe S.J. Masters	Date of Receipt MM / DD / YYYY 04 / 29 / 2010
	Mailing Address 150 Reade Street	Transaction ID: 18199338
	City State Zip Code New York NY 10013	Amount of Each Receipt this Period 5000.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer J.P. Morgan Securities Inc. Occupation Global Head	
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)	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:		PAGE 23 / 29	
	(check only one)			
<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	<input type="checkbox"/> 13
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17

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

A.	Full Name (Last, First, Middle Initial) Mr. Ian B. Davidson		Date of Receipt
	Mailing Address 325 Flood Road		<input type="text" value="04"/> / <input type="text" value="29"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	Great Falls	MT	59404-6402
	FEC ID number of contributing federal political committee.		Transaction ID: 18199340
	<input type="text" value="C"/>		Amount of Each Receipt this Period
Name of Employer D.A. Davidson & Company		Occupation Chairman	<input type="text" value="250.00"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General		Aggregate Year-to-Date ▼	
<input type="checkbox"/> Other (specify) ▼		<input type="text" value="250.00"/>	
			Contribution

SUBTOTAL of Receipts This Page (optional)	<input type="text" value="250.00"/>
TOTAL This Period (last page this line number only)	<input type="text" value="30265.90"/>

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:	PAGE 24 / 29
	(check only one)	
<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

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

A.

Full Name (Last, First, Middle Initial) Morgan Stanley PAC		Date of Receipt MM / DD / YYYY 04 / 02 / 2010
Mailing Address 1585 Broadway 39th Floor		Transaction ID: 18163500
City New York	State NY	Zip Code 10036
FEC ID number of contributing federal political committee. C C00337626		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	

B.

Full Name (Last, First, Middle Initial) Knight Capital Group, Inc. Good Government Fund		Date of Receipt MM / DD / YYYY 04 / 02 / 2010
Mailing Address 545 Washington Blvd, 3rd Floor		Transaction ID: 18163506
City Jersey City	State NJ	Zip Code 07310
FEC ID number of contributing federal political committee. C C00351205		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	

SUBTOTAL of Receipts This Page (optional)	▶	10000.00
TOTAL This Period (last page this line number only)	▶	10000.00

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:		PAGE 25 / 29	
	(check only one)			
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	<input type="checkbox"/> 13
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input checked="" type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17

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

A.	Full Name (Last, First, Middle Initial) Securities Industry and Financial Markets Association		Date of Receipt
	Mailing Address 120 Broadway Floor 35		<input type="text" value="0"/> <input type="text" value="4"/> / <input type="text" value="1"/> <input type="text" value="9"/> / <input type="text" value="2"/> <input type="text" value="0"/> <input type="text" value="1"/> <input type="text" value="0"/>
	City	State	Zip Code
	New York	NY	10271
	FEC ID number of contributing federal political committee.		<input type="text" value="C"/>
	Name of Employer		Occupation
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ <input type="text" value="1817.37"/>	Transaction ID: 18189311
			Amount of Each Receipt this Period <input type="text" value="634.25"/>
			Bank Fee Reimbursement

SUBTOTAL of Receipts This Page (optional)	<input type="text" value="634.25"/>
TOTAL This Period (last page this line number only)	<input type="text" value="634.25"/>

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)

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

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

A. Full Name (Last, First, Middle Initial) PNC Bank <hr/> Mailing Address 1400 K Street, NW <hr/> City Washington State DC Zip Code 20005 <hr/> Purpose of Disbursement Bank Fees Candidate Name <hr/> Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: <hr/> Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18170112 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 0 5 / 2 0 1 0
	Amount of Each Disbursement this Period 344.24
	Category/ Type 001
	Bank Fees

B. Full Name (Last, First, Middle Initial) PNC Bank <hr/> Mailing Address 1400 K Street, NW <hr/> City Washington State DC Zip Code 20005 <hr/> Purpose of Disbursement Bank Fees Candidate Name <hr/> Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: <hr/> Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18170113 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 0 2 / 2 0 1 0
	Amount of Each Disbursement this Period 0.90
	Category/ Type 001
	Bank Fees

C. Full Name (Last, First, Middle Initial) PNC Bank <hr/> Mailing Address 1400 K Street, NW <hr/> City Washington State DC Zip Code 20005 <hr/> Purpose of Disbursement Bank Fees Candidate Name <hr/> Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: <hr/> Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18170114 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 0 2 / 2 0 1 0
	Amount of Each Disbursement this Period 4.95
	Category/ Type 001
	Bank Fees

SUBTOTAL of Disbursements This Page (optional) ▶	350.09
TOTAL This Period (last page this line number only) ▶	(Empty box)

**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)

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A. Full Name (Last, First, Middle Initial) PNC Bank <hr/> Mailing Address 1400 K Street, NW <hr/> City Washington State DC Zip Code 20005 <hr/> Purpose of Disbursement Bank Fees Candidate Name <hr/> Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: <hr/> Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18170115 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 0 2 / 2 0 1 0
	Amount of Each Disbursement this Period 30.64 <hr/> Bank Fees
B. Full Name (Last, First, Middle Initial) PNC Bank <hr/> Mailing Address 1400 K Street, NW <hr/> City Washington State DC Zip Code 20005 <hr/> Purpose of Disbursement Bank Fees Candidate Name <hr/> Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: <hr/> Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18170116 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 0 2 / 2 0 1 0
	Amount of Each Disbursement this Period 253.52 <hr/> Bank Fees

SUBTOTAL of Disbursements This Page (optional) ►

284.16

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

634.25

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

A.	Full Name (Last, First, Middle Initial) McConnell Senate Committee '14 <hr/> Mailing Address PO Box 1496 <hr/> City Louisville State KY Zip Code 40201 <hr/> Purpose of Disbursement Contribution Candidate Name Sen. Mitch McConnell Office Sought: <input type="checkbox"/> House <input checked="" type="checkbox"/> Senate <input type="checkbox"/> President State: KY District: Disbursement For: 2014 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18193740 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 2 6 / 2 0 1 0	
		Amount of Each Disbursement this Period 2500.00	Contribution
B.	Full Name (Last, First, Middle Initial) Neugebauer Congressional Committee <hr/> Mailing Address PO Box 54175 <hr/> City Lubbock State TX Zip Code 79453 <hr/> Purpose of Disbursement Contribution Candidate Name Rep. Randy R. Neugebauer Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: TX District: 19 Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18193741 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 2 6 / 2 0 1 0	
		Amount of Each Disbursement this Period 1000.00	Contribution
C.	Full Name (Last, First, Middle Initial) Hagan Senate Committee Inc <hr/> Mailing Address PO Box 29103 <hr/> City Greensboro State NC Zip Code 27429 <hr/> Purpose of Disbursement Contribution Candidate Name Kay Hagan Office Sought: <input type="checkbox"/> House <input checked="" type="checkbox"/> Senate <input type="checkbox"/> President State: NC District: Disbursement For: 2014 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18193743 Date of Disbursement M M / D D / Y Y Y Y 0 4 / 2 6 / 2 0 1 0	
		Amount of Each Disbursement this Period 1000.00	Contribution

SUBTOTAL of Disbursements This Page (optional)	4500.00
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)

PAGE 29 / 29

<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

A. Full Name (Last, First, Middle Initial) Moore For Congress Mailing Address PO Box 16646 City Milwaukee State WI Zip Code 53216 Purpose of Disbursement Contribution Candidate Name Rep. Gwendolynne Moore Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: WI District: 04 Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18193745 Date of Disbursement MM / DD / YYYY 04 / 26 / 2010
	Amount of Each Disbursement this Period 1000.00 Contribution
B. Full Name (Last, First, Middle Initial) Ellison For Congress Mailing Address PO Box 6072 City Minneapolis State MN Zip Code 55406 Purpose of Disbursement Contribution Candidate Name Rep. Keith Ellison Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: MN District: 05 Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18200573 Date of Disbursement MM / DD / YYYY 04 / 29 / 2010
	Amount of Each Disbursement this Period 1000.00 Contribution

SUBTOTAL of Disbursements This Page (optional) ►

2000.00

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

6500.00