

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 10 01 2009 through 10 31 2009

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.
Type or Print Name of Treasurer Mr. Scott DeFife
Signature of Treasurer Electronically Filed by Mr. Scott DeFife Date 11 20 2009

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

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

SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS

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

Report Covering the Period: From:

M	M
1	0

D	D
0	1

Y	Y	Y	Y
2	0	0	9

 To:

M	M
1	0

D	D
3	1

Y	Y	Y	Y
2	0	0	9

	COLUMN A This Period	COLUMN B Calendar Year-to-Date								
6. (a) Cash on Hand January 1 <table border="1"><tr><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr><tr><td>2</td><td>0</td><td>0</td><td>9</td></tr></table>	Y	Y	Y	Y	2	0	0	9		40514.70
Y	Y	Y	Y							
2	0	0	9							
(b) Cash on Hand at Beginning of Reporting Period	22584.26									
(c) Total Receipts (from Line 19)	137096.25	278311.03								
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	159680.51	318825.73								
7. Total Disbursements (from Line 31)	29723.57	188868.79								
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	129956.94	129956.94								
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:

M	M
1	0

D	D
0	1

Y	Y	Y	Y
2	0	0	9

 To:

M	M
1	0

D	D
3	1

Y	Y	Y	Y
2	0	0	9

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)	85301.68	193224.05
(ii) Unitemized	36571.00	51251.95
(iii) TOTAL (add Lines 11(a)(i) and (ii)	121872.68	244476.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	15000.00	29000.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	136872.68	273476.00
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)	223.57	1327.26
16. Refunds of Contributions Made to Federal candidates and Other Political Committees	0.00	3500.00
17. Other Federal Receipts (Dividends, Interest, etc.)	0.00	7.77
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))	137096.25	278311.03
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	137096.25	278311.03

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.....	223.57	1868.79
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ▶	223.57	1868.79
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	29500.00	174500.00
24. Independent Expenditure (use Schedule E)	0.00	0.00
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	12500.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c))	0.00	12500.00
29. Other Disbursements.....	0.00	0.00
30. Federal Election Activity (2 U.S.C 431(20))		
(a) Shared Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	29723.57	188868.79
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	29723.57	188868.79

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

5 / 70

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)	136872.68	273476.00
34. Total Contribution Refunds (from Line 28(d))	0.00	12500.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	136872.68	260976.00
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	223.57	1868.79
37. Offsets to Operating Expenditures (from Line 15, page 3)	223.57	1327.26
38. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	541.53

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 6 / 70
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 11b <input type="checkbox"/> 11c <input type="checkbox"/> 12 <input type="checkbox"/> 13 <input type="checkbox"/> 14 <input type="checkbox"/> 15 <input type="checkbox"/> 16 <input type="checkbox"/> 17	

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

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

A.	Full Name (Last, First, Middle Initial) Mr. Scott W. Munroe	Date of Receipt MM / DD / YYYY 10 / 02 / 2009
	Mailing Address 3001 Majestic Oaks Lane	Transaction ID: 17588193
	City State Zip Code Saint Charles IL 60174-7960	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Pershing LLC Managing Director	
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) Mary I. LaPlante	Date of Receipt MM / DD / YYYY 10 / 05 / 2009
	Mailing Address 3745 SW 21st Terrace	Transaction ID: 17592138
	City State Zip Code Gainesville FL 32608-3334	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Financial Advisor	
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) Mr. Kurt M. Freund	Date of Receipt MM / DD / YYYY 10 / 06 / 2009
	Mailing Address 4849 E. Pebble Ridge Road	Transaction ID: 17592740
	City State Zip Code Paradise Valley AZ 85253-4079	Amount of Each Receipt this Period 2500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation RBC Dain Rauscher Corp. Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 2500.00	

SUBTOTAL of Receipts This Page (optional)	3250.00
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 7 / 70
(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. Thomas A. Phillips</p> <p>Mailing Address 360 Overbrook Drive</p> <p>City State Zip Code Canfield OH 44406-1130</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Branch Manager</p> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼ 250.00</p>	<p>Date of Receipt M M / D D / Y Y Y Y 1 0 / 0 7 / 2 0 0 9</p> <p>Transaction ID: 17596780</p> <p>Amount of Each Receipt this Period 250.00</p> <p>Contribution</p>
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<p>B. Full Name (Last, First, Middle Initial) Mr. Patrick J. Sheehan</p> <p>Mailing Address 288 Beacon Hill Drive</p> <p>City State Zip Code Cheshire CT 06410-1701</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Branch Manager</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 1 0 / 0 7 / 2 0 0 9</p> <p>Transaction ID: 17596783</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. Keith Downard</p> <p>Mailing Address 6177 Jamison Place</p> <p>City State Zip Code Canfield OH 44406-9565</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: SVP/Investments</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 1 0 / 0 7 / 2 0 0 9</p> <p>Transaction ID: 17596784</p> <p>Amount of Each Receipt this Period 2500.00</p> <p>Contribution</p>
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SUBTOTAL of Receipts This Page (optional)	3750.00
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 8 / 70
	<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. Wallace Tart		Date of Receipt
	Mailing Address 3147 N. Pollard Street		<input type="text"/> M <input type="text"/> M / <input type="text"/> D <input type="text"/> D / <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y 1 0 / 0 7 / 2 0 0 9
	City	State	Zip Code
	Arlington	VA	22207-4155
	FEC ID number of contributing federal political committee. C		Transaction ID: 17596789
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Vice President	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 ▼ 250.00	250.00
			Contribution

B.	Full Name (Last, First, Middle Initial) Mr. Phillip A. Hamilton		Date of Receipt
	Mailing Address 7261 Greenway		<input type="text"/> M <input type="text"/> M / <input type="text"/> D <input type="text"/> D / <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y 1 0 / 0 7 / 2 0 0 9
	City	State	Zip Code
	Saint Louis	MO	63130-4126
	FEC ID number of contributing federal political committee. C		Transaction ID: 17596790
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President/Branch Manager	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 ▼ 500.00	500.00
			Contribution

C.	Full Name (Last, First, Middle Initial) Mr. Joseph Buska		Date of Receipt
	Mailing Address 6208 Fox Meadow Lane		<input type="text"/> M <input type="text"/> M / <input type="text"/> D <input type="text"/> D / <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y 1 0 / 0 7 / 2 0 0 9
	City	State	Zip Code
	Edina	MN	55436-1160
	FEC ID number of contributing federal political committee. C		Transaction ID: 17596791
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President/Investments	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 ▼ 250.00	250.00
			Contribution

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 9 / 70
	<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. Joseph Buono	Date of Receipt MM / DD / YYYY 10 / 07 / 2009
	Mailing Address 97 East Mahwah Road	Transaction ID: 17596792
	City State Zip Code Mahwah NJ 07430-1402	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation SVP Investments/Branch Manager	Aggregate Year-to-Date 1000.00	

B.	Full Name (Last, First, Middle Initial) Mr. Jeff McCoy	Date of Receipt MM / DD / YYYY 10 / 07 / 2009
	Mailing Address 7229 Park Village Road	Transaction ID: 17596793
	City State Zip Code San Diego CA 92129-4534	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Senior Vice President	Aggregate Year-to-Date 500.00	

C.	Full Name (Last, First, Middle Initial) Mr. James C. Citro	Date of Receipt MM / DD / YYYY 10 / 07 / 2009
	Mailing Address 417 S. 24th	Transaction ID: 17596794
	City State Zip Code Quincy IL 62301-4428	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Vice Presidents/Investments	Aggregate Year-to-Date 250.00	

SUBTOTAL of Receipts This Page (optional)	1750.00
TOTAL This Period (last page this line number only)	

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 10 / 70
	<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. Robert Kuech	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 6608 Via De La Reina	Transaction ID: 17597901
	City State Zip Code Bonsall CA 92003-7007	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Vice Presidents/Investments	Aggregate Year-to-Date 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. Todd H. Crutchley	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 9 Brams Point Road	Transaction ID: 17597905
	City State Zip Code Hilton Head SC 29926-2050	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Branch Manager	Aggregate Year-to-Date 250.00	

C.	Full Name (Last, First, Middle Initial) Mr. Sam V. Morse, Jr.	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 1319 26th Avenue	Transaction ID: 17597907
	City State Zip Code Gulfport MS 39501	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Vice Presidents/Investments	Aggregate Year-to-Date 250.00	

SUBTOTAL of Receipts This Page (optional)	750.00
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 / 70
(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. Michael C. Nielsen

Mailing Address 11352 Michael Way

City State Zip Code
Grass Valley CA 95949-6549

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Vice President

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17597908

Amount of Each Receipt this Period
250.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Ms. Brigid M. Stackpool

Mailing Address 2515 43rd Ave. W.

City State Zip Code
Seattle WA 98199-3610

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17597916

Amount of Each Receipt this Period
250.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Peter J. Kramer

Mailing Address 24828 Blue Iris Court North

City State Zip Code
Plainfield IL 60585-2934

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 251.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17597917

Amount of Each Receipt this Period
251.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **751.00**

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 / 70
	<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. Susan Ema Vernon	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 5295 Tanager Woods Drive	Transaction ID: 17597944
	City State Zip Code Earlsville VA 22936-1872	Amount of Each Receipt this Period 260.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 260.00	

B.	Full Name (Last, First, Middle Initial) Mr. Allen Brautigam	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 28 Westbury Court	Transaction ID: 17597945
	City State Zip Code Skillman NJ 08558-1726	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	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. Christopher Cochran	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 4172 Westview Lane	Transaction ID: 17597947
	City State Zip Code Oshkosh WI 54904-6902	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Financial Advisor	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	1010.00
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 13 / 70
(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

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)
Mr. John Russell

Mailing Address 1314 West Adams

City State Zip Code
Saint Louis MO 63122-3704

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President/Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt: 10 / 08 / 2009
Transaction ID: 17597949
Amount of Each Receipt this Period: 1000.00
Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Lawrence R. Delhagen, Jr.

Mailing Address 1146 S. Cedarcrest Blvd.

City State Zip Code
Allentown PA 18103-7938

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 08 / 2009
Transaction ID: 17597954
Amount of Each Receipt this Period: 250.00
Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Robert Burns

Mailing Address 131 Altura

City State Zip Code
San Clemente CA 92673

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt: 10 / 08 / 2009
Transaction ID: 17597984
Amount of Each Receipt this Period: 1000.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► 2250.00

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

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 14 / 70
	<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. Robert Stockdale	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 502 Waterside Ct.	Transaction ID: 17597989
	City State Zip Code Saint Charles MO 63304-1231	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Branch Manager Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. Stuart J. Knobel	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 200 North Avenue	Transaction ID: 17597990
	City State Zip Code Anderson SC 29625-3514	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: First 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. Todd A. Rinderer	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 4 Donna Court	Transaction ID: 17597995
	City State Zip Code Edwardsville IL 62025-3311	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Senior Vice President/Investments Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 500.00	

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: (check only one)	PAGE 15 / 70
	<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. Patt Stansberry	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 3070 Picket Post	Transaction ID: 17597997
	City State Zip Code Columbia MO 65203-9583	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Senior Vice President	Aggregate Year-to-Date 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. Matthew E. Power	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 403 West Dudley Avenue	Transaction ID: 17597998
	City State Zip Code Westfield NJ 07090-4019	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Senior Vice President/Investments	Aggregate Year-to-Date 250.00	

C.	Full Name (Last, First, Middle Initial) Mr. Christopher Hamel	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 6030 E. Mariposa Street	Transaction ID: 17598001
	City State Zip Code Scottsdale AZ 85251-1935	Amount of Each Receipt this Period 2500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer RBC Dain Rauscher Corp.	
Occupation Managing Director	Aggregate Year-to-Date 2500.00	

SUBTOTAL of Receipts This Page (optional)	3000.00
TOTAL This Period (last page this line number only)	

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 16 / 70
(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. Robert E. Spangler		Date of Receipt
	Mailing Address 61 Bridle Path Lane		<input type="text" value="10"/> / <input type="text" value="08"/> / <input type="text" value="2009"/>
	City	State	Zip Code
	New Canaan	CT	06840-3906
	FEC ID number of contributing federal political committee. C		Transaction ID: 17598002
Name of Employer RBC Dain Rauscher Corp.		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="2500.00"/>	<input type="text" value="2500.00"/>
			Contribution

B.	Full Name (Last, First, Middle Initial) Mr. Mark Maroney		Date of Receipt
	Mailing Address 57 Monmouth Parkway		<input type="text" value="10"/> / <input type="text" value="08"/> / <input type="text" value="2009"/>
	City	State	Zip Code
	Monmouth Beach	NJ	07750-1127
	FEC ID number of contributing federal political committee. C		Transaction ID: 17598003
Name of Employer RBC Dain Rauscher Corp.		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="1000.00"/>	<input type="text" value="1000.00"/>
			Contribution

C.	Full Name (Last, First, Middle Initial) Mr. Russell Bailenson		Date of Receipt
	Mailing Address 20161 Palm Island Drive		<input type="text" value="10"/> / <input type="text" value="08"/> / <input type="text" value="2009"/>
	City	State	Zip Code
	Boca Raton	FL	33498-4513
	FEC ID number of contributing federal political committee. C		Transaction ID: 17598018
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President	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

SUBTOTAL of Receipts This Page (optional)	<input type="text" value="3750.00"/>
TOTAL This Period (last page this line number only)	<input type="text"/>

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 17 / 70
(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
							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. Robert Codignotto

Mailing Address 50 Charles Lindberg Blvd.

City State Zip Code
Uniondale NY 11553-3627

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
500.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598021

Amount of Each Receipt this Period
500.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. David M. Phipps

Mailing Address 19 Elm Ridge

City State Zip Code
Mattoon IL 61938-5435

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Investment Executive

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
275.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598022

Amount of Each Receipt this Period
275.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Marvin E. Slaughter

Mailing Address 619 Fairway Drive

City State Zip Code
Florence SC 29501-5509

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598025

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **1025.00**

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 18 / 70
(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. Perry J. Wright

Mailing Address 3212 Lake Redding Drive

City State Zip Code
Redding CA 96003-3311

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598029

Amount of Each Receipt this Period
250.00

Contribution

B. Full Name (Last, First, Middle Initial)
Mr. Hugh Uhalt

Mailing Address 1010 Common Street, Suite 1900

City State Zip Code
New Orleans LA 70112-2481

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President

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

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598066

Amount of Each Receipt this Period
500.00

Contribution

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

Mailing Address 5069 Lago Vista Way

City State Zip Code
Paradise CA 95969-6680

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

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

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598067

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 19 / 70
(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. Roxanne Bryant

Mailing Address 4445 Brisky Canyon Road

City State Zip Code
Cashmere WA 98815-9404

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

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

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598071

Amount of Each Receipt this Period
500.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Norman H. Raymond

Mailing Address 9 Holmehill Lane

City State Zip Code
Roseland NJ 07068-1422

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598076

Amount of Each Receipt this Period
250.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Lee W. Smith

Mailing Address 1305 Crest Drive

City State Zip Code
Joplin MO 64801-1037

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 0 8 / 2 0 0 9

Transaction ID: 17598117

Amount of Each Receipt this Period
250.00

Contribution

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

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 20 / 70
	<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. Sumner Schachter	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address P.O. Box 61	Transaction ID: 17598122
	City State Zip Code Glenwood Springs CO 81602-0061	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Vice President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. Alan L. Olsen	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address W144 N10668 Lincoln Drive	Transaction ID: 17598123
	City State Zip Code Germantown WI 53022-4396	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice President/Investments	
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) Mr. William R. Eastman	Date of Receipt MM / DD / YYYY 10 / 08 / 2009
	Mailing Address 1600 Morgantown Road, I-3	Transaction ID: 17598125
	City State Zip Code Pinehurst NC 28374	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	750.00
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 21 / 70
(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. Christopher G. Matheson

Mailing Address 4698 Autumn Trail

City Richfield State WI Zip Code 53076-9419

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt 10 / 08 / 2009
Transaction ID: 17598126
Amount of Each Receipt this Period 1000.00
Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Larry J.K. Goetas

Mailing Address 45-166 Ikenakai Street

City Kaneohe State HI Zip Code 96744-5324

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 500.00

Date of Receipt 10 / 08 / 2009
Transaction ID: 17598129
Amount of Each Receipt this Period 500.00
Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Chris McCampbell

Mailing Address 3800 Braewood Circle

City Plano State TX Zip Code 75093-8077

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 500.00

Date of Receipt 10 / 08 / 2009
Transaction ID: 17598131
Amount of Each Receipt this Period 500.00
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 22 / 70
(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

A. Full Name (Last, First, Middle Initial)
Mr. David Minker

Mailing Address 1175 York Avenue, 12D

City State Zip Code
New York NY 10065-7174

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President

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

Date of Receipt
MM / DD / YYYY
10 / 09 / 2009

Transaction ID: 17598506

Amount of Each Receipt this Period
500.00

Contribution

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

Mailing Address 1825 Beech Grove

City State Zip Code
Charlottesville VA 22911-2202

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

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

Date of Receipt
MM / DD / YYYY
10 / 09 / 2009

Transaction ID: 17598508

Amount of Each Receipt this Period
500.00

Contribution

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

Mailing Address 625 S. Skinker, #1503

City State Zip Code
Saint Louis MO 63105-2345

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

Name of Employer Occupation
Westmoreland Associates, LLC CEO

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 1000.00

Date of Receipt
MM / DD / YYYY
10 / 09 / 2009

Transaction ID: 17598519

Amount of Each Receipt this Period
1000.00

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 23 / 70
(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. James M. Zemlyak

Mailing Address 4351 Laclede Avenue

City State Zip Code
Saint Louis MO 63108-2248

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/COO

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) ▼ 1000.00

Date of Receipt
MM / DD / YYYY
10 / 09 / 2009

Transaction ID: 17598520

Amount of Each Receipt this Period
1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Frederick O. Hanser

Mailing Address 2 Salem Estates

City State Zip Code
Saint Louis MO 63124-1321

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

Name of Employer Occupation
St. Louis Cardinals Vice Chairman

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) ▼ 1000.00

Date of Receipt
MM / DD / YYYY
10 / 09 / 2009

Transaction ID: 17598921

Amount of Each Receipt this Period
1000.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Ronald DeCicco

Mailing Address 15 Eagles Notch Drive

City State Zip Code
Englewood NJ 07631-5059

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

Name of Employer Occupation
Pershing LLC Chief Administrative Office

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 09 / 2009

Transaction ID: 17598924

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **2250.00**

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 24 / 70
(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. Kirt W. Kilbourne

Mailing Address 6061 Beverly

City State Zip Code
Traverse City MI 49684-8647

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 09 / 2009
Transaction ID: 17599136
Amount of Each Receipt this Period: 250.00
Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Bradley Gummow

Mailing Address 4413 Alpine Oaks Avenue

City State Zip Code
Rockford IL 61114-6101

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 500.00

Date of Receipt: 10 / 09 / 2009
Transaction ID: 17599660
Amount of Each Receipt this Period: 500.00
Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. David S. Remy

Mailing Address 239 Landmark Circle

City State Zip Code
Ormond Beach FL 32176-5725

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 12 / 2009
Transaction ID: 17599760
Amount of Each Receipt this Period: 250.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► 1000.00

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 25 / 70
	<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 K. Sanna	Date of Receipt MM / DD / YYYY 10 / 12 / 2009
	Mailing Address 316 Lakewood Blvd	Transaction ID: 17599989
	City State Zip Code Madison WI 53704-5918	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Senior Vice President Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. John J. Maurello, Jr.	Date of Receipt MM / DD / YYYY 10 / 12 / 2009
	Mailing Address 300 East 40th Street, #25N	Transaction ID: 17600000
	City State Zip Code New York NY 10016-2004	Amount of Each Receipt this Period 1000.00
	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 ▼ 1000.00	

C.	Full Name (Last, First, Middle Initial) Mr. Gary A. King	Date of Receipt MM / DD / YYYY 10 / 12 / 2009
	Mailing Address 18728 S. Mingo	Transaction ID: 17600007
	City State Zip Code Bixby OK 74008-6624	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Branch Manager Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	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 26 / 70
(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 O'Bryant, III

Mailing Address 9904 Mathias Court

City Raleigh State NC Zip Code 27615-1621

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 13 / 2009
Transaction ID: 17605836
Amount of Each Receipt this Period: 250.00
Contribution

B. Full Name (Last, First, Middle Initial)
Nona F. Hasegawa

Mailing Address 925 Fourth Avenue, Suite 3800

City Seattle State WA Zip Code 98104-1129

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 13 / 2009
Transaction ID: 17605839
Amount of Each Receipt this Period: 250.00
Contribution

C. Full Name (Last, First, Middle Initial)
Mr. Thomas D. Thomson

Mailing Address 1 Wild Board Cross

City Savannah State GA Zip Code 31411-2843

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 13 / 2009
Transaction ID: 17605858
Amount of Each Receipt this Period: 250.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► 750.00

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 27 / 70
(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. Brian K. Forrest

Mailing Address 5704 Bridlewood Court

City State Zip Code
Columbia MO 65203-9292

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 13 / 2009
Transaction ID: 17605860
Amount of Each Receipt this Period: 250.00
Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. William M. Greenwood

Mailing Address 3516 Northwestern Avenue

City State Zip Code
Wausau WI 54403-9260

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 13 / 2009
Transaction ID: 17605861
Amount of Each Receipt this Period: 250.00
Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Paul MacCrory

Mailing Address 2320 St. Denis Lane

City State Zip Code
Havertown PA 19083-1529

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 13 / 2009
Transaction ID: 17605896
Amount of Each Receipt this Period: 250.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► 750.00

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 28 / 70
(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. James E. Dzikowski</p> <p>Mailing Address One Fox Chase Lane</p> <p>City State Zip Code Morristown NJ 07960-4731</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice President</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 <table border="1" style="width: 100%; text-align: center;"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>0</td><td></td><td>1</td><td>3</td><td></td><td>2</td><td>0</td><td>0</td><td>9</td> </tr> </table> </p> <p>Transaction ID: 17605897</p> <p>Amount of Each Receipt this Period 250.00</p> <p>Contribution</p>	M	M	/	D	D	/	Y	Y	Y	Y	1	0		1	3		2	0	0	9
M	M	/	D	D	/	Y	Y	Y	Y												
1	0		1	3		2	0	0	9												

<p>B. Full Name (Last, First, Middle Initial) Mr. Paul Carothers</p> <p>Mailing Address 14006 Montrachet Lane</p> <p>City State Zip Code Chesterfield MO 63017-8320</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Branch Manager</p> <p>Receipt For: Aggregate Year-to-Date ▼ <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ 500.00</p>	<p>Date of Receipt <table border="1" style="width: 100%; text-align: center;"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>0</td><td></td><td>1</td><td>3</td><td></td><td>2</td><td>0</td><td>0</td><td>9</td> </tr> </table> </p> <p>Transaction ID: 17605898</p> <p>Amount of Each Receipt this Period 500.00</p> <p>Contribution</p>	M	M	/	D	D	/	Y	Y	Y	Y	1	0		1	3		2	0	0	9
M	M	/	D	D	/	Y	Y	Y	Y												
1	0		1	3		2	0	0	9												

<p>C. Full Name (Last, First, Middle Initial) Mr. Paul C. Druke</p> <p>Mailing Address 8851 River Ridge</p> <p>City State Zip Code Middleville MI 49333-9304</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice President</p> <p>Receipt For: Aggregate Year-to-Date ▼ <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ 500.00</p>	<p>Date of Receipt <table border="1" style="width: 100%; text-align: center;"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>1</td><td>0</td><td></td><td>1</td><td>3</td><td></td><td>2</td><td>0</td><td>0</td><td>9</td> </tr> </table> </p> <p>Transaction ID: 17605901</p> <p>Amount of Each Receipt this Period 500.00</p> <p>Contribution</p>	M	M	/	D	D	/	Y	Y	Y	Y	1	0		1	3		2	0	0	9
M	M	/	D	D	/	Y	Y	Y	Y												
1	0		1	3		2	0	0	9												

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: (check only one)	PAGE 29 / 70
	<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. John P. Troiano		Date of Receipt MM / DD / YYYY 10 / 13 / 2009		
	Mailing Address 14 Gale Road		Transaction ID: 17605903		
	City Hampton	State NH	Zip Code 03842-1013	Amount of Each Receipt this Period 250.00	
	FEC ID number of contributing federal political committee. C		Contribution		
	Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice President/Branch Manager	Aggregate Year-to-Date 250.00		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼					

B.	Full Name (Last, First, Middle Initial) Ms. Molly A. Miles		Date of Receipt MM / DD / YYYY 10 / 13 / 2009		
	Mailing Address 11506 Lakeshore Drive		Transaction ID: 17605904		
	City Grand Haven	State MI	Zip Code 49417-9648	Amount of Each Receipt this Period 250.00	
	FEC ID number of contributing federal political committee. C		Contribution		
	Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Branch Manager	Aggregate Year-to-Date 250.00		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼					

C.	Full Name (Last, First, Middle Initial) Mr. J. David Crawford		Date of Receipt MM / DD / YYYY 10 / 13 / 2009		
	Mailing Address 212 Ellicot Road		Transaction ID: 17605936		
	City Centerville	State MA	Zip Code 02632-3659	Amount of Each Receipt this Period 250.00	
	FEC ID number of contributing federal political committee. C		Contribution		
	Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Branch Manager	Aggregate Year-to-Date 250.00		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼					

SUBTOTAL of Receipts This Page (optional)	750.00
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 30 / 70
	<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) Tracy J. Yanke	Date of Receipt MM / DD / YYYY 10 / 13 / 2009
	Mailing Address 7513 Runnel Road	Transaction ID: 17605938
	City State Zip Code Bismarck ND 58503-1526	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Branch Manager	
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. Christopher E. Bolles	Date of Receipt MM / DD / YYYY 10 / 13 / 2009
	Mailing Address 165 Rivoli Ridge Drive	Transaction ID: 17605945
	City State Zip Code Macon GA 31210-7429	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Branch Manager	
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) Mr. Thomas W. Haisten	Date of Receipt MM / DD / YYYY 10 / 13 / 2009
	Mailing Address 11711 Canyon Bend Drive	Transaction ID: 17606027
	City State Zip Code Tomball TX 77377-7663	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation First Vice President/Investments	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

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 31 / 70
(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. James W. Bear

Mailing Address 27 Clinton Street

City State Zip Code
Hudson OH 44236-2899

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 4 / 2 0 0 9

Transaction ID: 17606200

Amount of Each Receipt this Period
250.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Sam V. Morse, Jr.

Mailing Address 1319 26th Avenue

City State Zip Code
Gulfport MS 39501

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Vice Presidents/Investments

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 350.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 4 / 2 0 0 9

Transaction ID: 17606202

Amount of Each Receipt this Period
100.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Jacky W. Smith

Mailing Address 16244 Rye Hill Circle

City State Zip Code
Orland Park IL 60467-5392

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Financial Advisor

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 1000.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 4 / 2 0 0 9

Transaction ID: 17606203

Amount of Each Receipt this Period
1000.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **1350.00**

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 32 / 70
	<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 W. Walden		Date of Receipt
	Mailing Address 3218 Hilton Avenue		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y 1 0 / 1 4 / 2 0 0 9
	City	State	Zip Code
	Columbus	GA	31906-1036
	FEC ID number of contributing federal political committee. C		Transaction ID: 17606205
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President/Investments	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 ▼ 500.00	<input type="text"/> 500.00
Contribution			

B.	Full Name (Last, First, Middle Initial) Mr. Michael Ramella		Date of Receipt
	Mailing Address 25 Norfolk Avenue		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y 1 0 / 1 4 / 2 0 0 9
	City	State	Zip Code
	Northampton	MA	01060-1623
	FEC ID number of contributing federal political committee. C		Transaction ID: 17606207
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President/Branch Manager	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 ▼ 500.00	<input type="text"/> 500.00
Contribution			

C.	Full Name (Last, First, Middle Initial) Mr. Frank Story		Date of Receipt
	Mailing Address 320 E 46th Street		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y 1 0 / 1 4 / 2 0 0 9
	City	State	Zip Code
	New York	NY	10017-3042
	FEC ID number of contributing federal political committee. C		Transaction ID: 17606212
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President	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 ▼ 200.00	<input type="text"/> 200.00
Contribution			

SUBTOTAL of Receipts This Page (optional)	<input type="text"/> 1200.00
TOTAL This Period (last page this line number only)	<input type="text"/>

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 33 / 70		
	<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

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) Mr. Robert S. Gesdorf	Date of Receipt MM / DD / YYYY 10 / 14 / 2009
	Mailing Address 3777 Tamiami Trail, #300	Transaction ID: 17606221
	City State Zip Code Naples FL 34103-3721	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated Occupation Senior Vice President/Investments 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. Joel N. Cousins	Date of Receipt MM / DD / YYYY 10 / 14 / 2009
	Mailing Address 2129 W. Okmulgee	Transaction ID: 17606225
	City State Zip Code Muskogee OK 74403	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated Occupation Branch Manager 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) Mr. Scott A. Sanders	Date of Receipt MM / DD / YYYY 10 / 14 / 2009
	Mailing Address 14271 Sandarac Drive	Transaction ID: 17606233
	City State Zip Code Bokeelia FL 33922-3510	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated Occupation Branch Manager Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

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

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 34 / 70
(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. Franklin J. Anderson

Mailing Address 42035 Liberty Drive

City Hemet State CA Zip Code 92544-6408

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation CFP, Assistant Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 10 / 14 / 2009
Transaction ID: 17606240
Amount of Each Receipt this Period 250.00
Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Robert N. Adrian

Mailing Address 1786 Harbert Avenue

City Memphis State TN Zip Code 38104-5114

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 10 / 14 / 2009
Transaction ID: 17606241
Amount of Each Receipt this Period 250.00
Contribution

C.

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

Mailing Address 6 Mettowee Farms Court

City Upper Saddle River State NJ Zip Code 07458-2125

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 10 / 14 / 2009
Transaction ID: 17606253
Amount of Each Receipt this Period 250.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► 750.00

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 35 / 70
(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. Frank Story		Date of Receipt MM / DD / YYYY 10 / 14 / 2009
Mailing Address 320 E 46th Street		Transaction ID: 17606261
City New York	State NY	Zip Code 10017-3042
FEC ID number of contributing federal political committee. C		Amount of Each Receipt this Period 300.00
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice President	Contribution
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. Stephen E. Shevlin		Date of Receipt MM / DD / YYYY 10 / 14 / 2009
Mailing Address 7 Dogwood Est		Transaction ID: 17606690
City Glen Carbon	State IL	Zip Code 62034-1530
FEC ID number of contributing federal political committee. C		Amount of Each Receipt this Period 1000.00
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice President/Branch Manager	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

C.

Full Name (Last, First, Middle Initial) Mr. Larry Feldmesser		Date of Receipt MM / DD / YYYY 10 / 14 / 2009
Mailing Address 9421 N. Fairway Circle		Transaction ID: 17606697
City Bayside	State WI	Zip Code 53217-1316
FEC ID number of contributing federal political committee. C		Amount of Each Receipt this Period 250.00
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Vice President/Branch Manager	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	▶	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 36 / 70
	<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. Roger P. Compton	Date of Receipt MM / DD / YYYY 10 / 14 / 2009
	Mailing Address 1321 Gerber Woods Drive	Transaction ID: 17606702
	City State Zip Code Edwardsville IL 62025-3102	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Senior Vice President/Investments Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) <input type="checkbox"/> Aggregate Year-to-Date: 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. James R. Livasy	Date of Receipt MM / DD / YYYY 10 / 14 / 2009
	Mailing Address 5222 N. MacArthur Road	Transaction ID: 17606754
	City State Zip Code Forsyth IL 62535-9709	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Senior Vice President/Investments Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) <input type="checkbox"/> Aggregate Year-to-Date: 250.00	

C.	Full Name (Last, First, Middle Initial) Kyle Brandon	Date of Receipt MM / DD / YYYY 10 / 14 / 2009
	Mailing Address 342 West 85th Street, 2A	Transaction ID: 17606755
	City State Zip Code New York NY 10024-3253	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Securities Industry and Financial Mark Occupation: Research and Policy Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) <input type="checkbox"/> Aggregate Year-to-Date: 500.00	

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

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 37 / 70
(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 Mark Serby

Mailing Address 18 Hubbard Court

City State Zip Code
Allendale NJ 07401-1341

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Branch Manager-Senior VP

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 15 / 2009
Transaction ID: 17613078
Amount of Each Receipt this Period: 250.00
Contribution

B. Full Name (Last, First, Middle Initial)
Mr Stephen G Mitchell

Mailing Address 1 Overshot Court

City State Zip Code
Phoenix MD 21131-1851

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 15 / 2009
Transaction ID: 17613694
Amount of Each Receipt this Period: 250.00
Contribution

C. Full Name (Last, First, Middle Initial)
Mr Jerome F Hartl

Mailing Address 918 Napoleon Way

City State Zip Code
Traverse City MI 49686-8390

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

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Vice President, Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 10 / 15 / 2009
Transaction ID: 17614294
Amount of Each Receipt this Period: 250.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► **750.00**

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 38 / 70
(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

A. Full Name (Last, First, Middle Initial)
Mr Thomas Boyd

Mailing Address 68 Crest Road

City State Zip Code
New Providence NJ 07974-2546

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 15 / 2009

Transaction ID: 17614298

Amount of Each Receipt this Period
250.00

Contribution

B. Full Name (Last, First, Middle Initial)
Mr. Charles D. Mayer

Mailing Address 300 East 74th Street
Apt. 35A

City State Zip Code
New York NY 10021-3712

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Financial Advisor

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 15 / 2009

Transaction ID: 17615796

Amount of Each Receipt this Period
250.00

Contribution

C. Full Name (Last, First, Middle Initial)
Mr. Lanis Noble

Mailing Address 101 Hickory Cove

City State Zip Code
Brandon MS 39047-8361

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 15 / 2009

Transaction ID: 17615876

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► 750.00

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 39 / 70
	<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. William H. Olsen		Date of Receipt
	Mailing Address 11650 Calle Javelina		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y
	City	State	Zip Code
	Tucson	AZ	85748-8355
	FEC ID number of contributing federal political committee.	<input type="text"/> C <input type="text"/>	Transaction ID: 17615923
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation First Vice President/Branch Manager	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"/> 250.00
			Contribution

B.	Full Name (Last, First, Middle Initial) Mr. Dennis G. Randall		Date of Receipt
	Mailing Address 1766 Santa Rosa		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y
	City	State	Zip Code
	Eugene	OR	97404-2350
	FEC ID number of contributing federal political committee.	<input type="text"/> C <input type="text"/>	Transaction ID: 17615924
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Branch Manager	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"/> 250.00
			Contribution

C.	Full Name (Last, First, Middle Initial) Mr. Edward A. Klug		Date of Receipt
	Mailing Address 4928 Meade Street		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y
	City	State	Zip Code
	Appleton	WI	54913-5057
	FEC ID number of contributing federal political committee.	<input type="text"/> C <input type="text"/>	Transaction ID: 17615925
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President/Branch Manager	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"/> 250.00
			Contribution

SUBTOTAL of Receipts This Page (optional)	<input type="text"/> 750.00
TOTAL This Period (last page this line number only)	<input type="text"/>

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 40 / 70
	<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 T. Putzel	Date of Receipt MM / DD / YYYY 10 / 15 / 2009
	Mailing Address 325 N. Meramec Avenue, Apt. 15	Transaction ID: 17615926
	City State Zip Code Clayton MO 63105-3780	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Senior Vice President/Investments Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. George Friedman	Date of Receipt MM / DD / YYYY 10 / 15 / 2009
	Mailing Address 3406 W. Clubview Court	Transaction ID: 17615927
	City State Zip Code Mequon WI 53092-5101	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Senior Vice President/Branch Manager 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) Mr. Kenneth A. Mannino	Date of Receipt MM / DD / YYYY 10 / 15 / 2009
	Mailing Address 6849 Rote Road	Transaction ID: 17615928
	City State Zip Code Rockford IL 61107-2664	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer: Stifel, Nicolaus & Company, Incorporated Occupation: Senior Vice President Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	750.00
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 41 / 70
(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. David J. Dewar, JR.
Mailing Address 1004 Havenwood Drive

City State Zip Code
Libertyville IL 60048-2527

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Vice President/Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 15 / 2009

Transaction ID: 17615929

Amount of Each Receipt this Period
250.00

Contribution

B. Full Name (Last, First, Middle Initial)
Mr. William Hadden, III
Mailing Address P.O. Box 505

City State Zip Code
Manchester VT 05254-0505

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 15 / 2009

Transaction ID: 17615930

Amount of Each Receipt this Period
250.00

Contribution

C. Full Name (Last, First, Middle Initial)
Mr. John A. Shinkle
Mailing Address 2409 Craigston Drive

City State Zip Code
Columbus GA 31906-1534

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 15 / 2009

Transaction ID: 17615934

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► 750.00

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 42 / 70
(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. Victor J. Nesi

Mailing Address 1545 Fairfield Beach Road

City State Zip Code
Fairfield CT 06824-6564

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Executive Vice President

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) **1000.00**

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 5 / 2 0 0 9

Transaction ID: 17616082

Amount of Each Receipt this Period
1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Ms. Grace Galvin

Mailing Address 4 Lark Lane

City State Zip Code
Montvale NJ 07645-1118

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Assistant Branch Manager

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) **250.00**

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 5 / 2 0 0 9

Transaction ID: 17616212

Amount of Each Receipt this Period
250.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. William H. Parse

Mailing Address 3246 Wadsworth

City State Zip Code
Portage MI 49024-7843

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) **250.00**

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 6 / 2 0 0 9

Transaction ID: 17616242

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional) **1500.00**

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 43 / 70
(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 P. Paterchak

Mailing Address 576 Shadydale Drive

City State Zip Code
Canfield OH 44406-9655

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President

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

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 6 / 2 0 0 9

Transaction ID: 17616243

Amount of Each Receipt this Period
500.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Mark J. Vavruska

Mailing Address 6292 Myrtle Hill Road

City State Zip Code
Valley City OH 44280-9795

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Branch Manager

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

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 6 / 2 0 0 9

Transaction ID: 17616245

Amount of Each Receipt this Period
500.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Eldon Miller

Mailing Address 60 South 6th Street Ste 3000

City State Zip Code
Minneapolis MN 55402-4430

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 2500.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 1 6 / 2 0 0 9

Transaction ID: 17616246

Amount of Each Receipt this Period
2500.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **3500.00**

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 44 / 70
	<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. Kevin Healy	Date of Receipt MM / DD / YYYY 10 / 16 / 2009
	Mailing Address 5 Guardian Court	Transaction ID: 17616247
	City State Zip Code Mount Sinai NY 11766-2322	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Senior Vice President	Aggregate Year-to-Date 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. Richard DiSammartino	Date of Receipt MM / DD / YYYY 10 / 16 / 2009
	Mailing Address 500 Buckley Road	Transaction ID: 17616249
	City State Zip Code Lower Gwynedd PA 19002-2503	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Senior Vice President	Aggregate Year-to-Date 250.00	

C.	Full Name (Last, First, Middle Initial) Mr. David F. Priest	Date of Receipt MM / DD / YYYY 10 / 16 / 2009
	Mailing Address 301 Bosworth Lane	Transaction ID: 17616250
	City State Zip Code Neenah WI 54956-6604	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Stifel, Nicolaus & Company, Incorporated	
Occupation Branch Manager	Aggregate Year-to-Date 250.00	

SUBTOTAL of Receipts This Page (optional)	750.00
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 45 / 70
(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. Duane K. Thomas</p> <p>Mailing Address 14 Clarkson Farm Drive</p> <p>City State Zip Code Chesterfield MO 63017-7346</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments</p> <p>Receipt For: Aggregate Year-to-Date ▼ <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ 500.00</p>	<p>Date of Receipt <table border="0"> <tr> <td style="border: 1px solid black; padding: 2px;">M M</td> <td style="border: 1px solid black; padding: 2px;">/</td> <td style="border: 1px solid black; padding: 2px;">D D</td> <td style="border: 1px solid black; padding: 2px;">/</td> <td style="border: 1px solid black; padding: 2px;">Y Y Y Y</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">1 0</td> <td></td> <td style="border: 1px solid black; padding: 2px;">1 6</td> <td></td> <td style="border: 1px solid black; padding: 2px;">2 0 0 9</td> </tr> </table> </p> <p>Transaction ID: 17616251</p> <p>Amount of Each Receipt this Period 500.00</p> <p>Contribution</p>	M M	/	D D	/	Y Y Y Y	1 0		1 6		2 0 0 9
M M	/	D D	/	Y Y Y Y							
1 0		1 6		2 0 0 9							

<p>B. Full Name (Last, First, Middle Initial) Mr. W. O'Brien</p> <p>Mailing Address #1012 505 N. Lake Shore Drive</p> <p>City State Zip Code Chicago IL 60611</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice President</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 <table border="0"> <tr> <td style="border: 1px solid black; padding: 2px;">M M</td> <td style="border: 1px solid black; padding: 2px;">/</td> <td style="border: 1px solid black; padding: 2px;">D D</td> <td style="border: 1px solid black; padding: 2px;">/</td> <td style="border: 1px solid black; padding: 2px;">Y Y Y Y</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">1 0</td> <td></td> <td style="border: 1px solid black; padding: 2px;">1 6</td> <td></td> <td style="border: 1px solid black; padding: 2px;">2 0 0 9</td> </tr> </table> </p> <p>Transaction ID: 17616252</p> <p>Amount of Each Receipt this Period 250.00</p> <p>Contribution</p>	M M	/	D D	/	Y Y Y Y	1 0		1 6		2 0 0 9
M M	/	D D	/	Y Y Y Y							
1 0		1 6		2 0 0 9							

<p>C. Full Name (Last, First, Middle Initial) Mr. Joseph Calise</p> <p>Mailing Address 106 Milford Heights Terrace P.O. Box 1225</p> <p>City State Zip Code Milford PA 18337</p> <p>FEC ID number of contributing federal political committee. C</p> <p>Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Vice President/Branch Manager</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 <table border="0"> <tr> <td style="border: 1px solid black; padding: 2px;">M M</td> <td style="border: 1px solid black; padding: 2px;">/</td> <td style="border: 1px solid black; padding: 2px;">D D</td> <td style="border: 1px solid black; padding: 2px;">/</td> <td style="border: 1px solid black; padding: 2px;">Y Y Y Y</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">1 0</td> <td></td> <td style="border: 1px solid black; padding: 2px;">1 9</td> <td></td> <td style="border: 1px solid black; padding: 2px;">2 0 0 9</td> </tr> </table> </p> <p>Transaction ID: 17618232</p> <p>Amount of Each Receipt this Period 250.00</p> <p>Contribution</p>	M M	/	D D	/	Y Y Y Y	1 0		1 9		2 0 0 9
M M	/	D D	/	Y Y Y Y							
1 0		1 9		2 0 0 9							

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 46 / 70
	<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) Alex Gallego	Date of Receipt MM / DD / YYYY 10 / 19 / 2009
	Mailing Address 91 Sunny Hill Drive	Transaction ID: 17618233
	City State Zip Code East Norwich NY 11732-1138	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice President Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. John D. Reilly	Date of Receipt MM / DD / YYYY 10 / 19 / 2009
	Mailing Address 227 West Monroe Street, Suite 1850	Transaction ID: 17618234
	City State Zip Code Chicago IL 60606-5094	Amount of Each Receipt this Period 300.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 300.00	

C.	Full Name (Last, First, Middle Initial) Mr. Jon O. Laurell	Date of Receipt MM / DD / YYYY 10 / 19 / 2009
	Mailing Address 332 Old Harbor Road	Transaction ID: 17618235
	City State Zip Code Chatham MA 02633-2374	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Vice President/Branch Manager Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	800.00
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 47 / 70
	<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. Frank J. Brand, II		Date of Receipt
	Mailing Address 616 Fairway Drive		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y 1 0 / 1 9 / 2 0 0 9
	City	State	Zip Code
	Florence	SC	29501-5510
	FEC ID number of contributing federal political committee. C		Transaction ID: 17618236
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President	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"/> 250.00	<input type="text"/> 250.00
			Contribution

B.	Full Name (Last, First, Middle Initial) Mr. Antonio T. Pimentel		Date of Receipt
	Mailing Address 7507 Magill		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y 1 0 / 1 9 / 2 0 0 9
	City	State	Zip Code
	Wichita	KS	67206-3807
	FEC ID number of contributing federal political committee. C		Transaction ID: 17618237
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Vice President/Branch Manager	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"/> 250.00	<input type="text"/> 250.00
			Contribution

C.	Full Name (Last, First, Middle Initial) Mr. John D. Roberts		Date of Receipt
	Mailing Address 3970 Asher Court		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y Y 1 0 / 1 9 / 2 0 0 9
	City	State	Zip Code
	San Jose	CA	95124-2603
	FEC ID number of contributing federal political committee. C		Transaction ID: 17618239
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President/Investments	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"/> 250.00	<input type="text"/> 250.00
			Contribution

SUBTOTAL of Receipts This Page (optional)	<input type="text"/> 750.00
TOTAL This Period (last page this line number only)	<input type="text"/>

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 48 / 70
(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. Gary K. Moss

Mailing Address 8445 Coral Reef Court

City Indianapolis State IN Zip Code 46256-9505

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 10 / 19 / 2009
Transaction ID: 17618240
Amount of Each Receipt this Period 250.00
Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. John D. Orcutt, Jr.

Mailing Address 4665 Pebble Bay S.

City Vero Beach State FL Zip Code 32963-1112

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 10 / 19 / 2009
Transaction ID: 17618241
Amount of Each Receipt this Period 250.00
Contribution

C.

Full Name (Last, First, Middle Initial)
Kim S. Smith

Mailing Address 121 Brookpark

City Canfield State OH Zip Code 44406-1101

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

Name of Employer Stifel, Nicolaus & Company, Incorporated
Occupation Senior Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 10 / 19 / 2009
Transaction ID: 17618242
Amount of Each Receipt this Period 250.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► 750.00

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 49 / 70
(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

A. Full Name (Last, First, Middle Initial)
Mr. Richard W. Comstock

Mailing Address 675 White Tail Ridge Drive

City State Zip Code
Fairlawn OH 44333-3286

FEC ID number of contributing federal political committee. C

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Senior Vice President

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: MM / DD / YYYY
10 / 19 / 2009

Transaction ID: 17618243

Amount of Each Receipt this Period: 250.00

Contribution

B. Full Name (Last, First, Middle Initial)
Mr. Randall W. Hunt

Mailing Address 271 Riverside Road

City State Zip Code
Rossford OH 43460-1064

FEC ID number of contributing federal political committee. C

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: MM / DD / YYYY
10 / 19 / 2009

Transaction ID: 17618246

Amount of Each Receipt this Period: 250.00

Contribution

C. Full Name (Last, First, Middle Initial)
Mr. Michael S. O'keefe

Mailing Address 583 Godshall Road

City State Zip Code
Telford PA 18969-2261

FEC ID number of contributing federal political committee. C

Name of Employer: Stifel, Nicolaus & Company, Incorporated
Occupation: First Vice President/Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: MM / DD / YYYY
10 / 19 / 2009

Transaction ID: 17618247

Amount of Each Receipt this Period: 250.00

Contribution

SUBTOTAL of Receipts This Page (optional) 750.00

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 50 / 70
(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. Alan Jaffe

Mailing Address P.O. Box 111

City State Zip Code
Port Washington NY 11050-5111

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

Name of Employer Occupation
RBC Dain Rauscher Corp. 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
1 0 / 2 0 / 2 0 0 9

Transaction ID: 17619280

Amount of Each Receipt this Period
1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Ronald J. Kruszewski

Mailing Address 2724 Turnberry Park Lane

City State Zip Code
Saint Louis MO 63131-3040

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Chairman & CEO

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 3000.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 0 / 2 0 0 9

Transaction ID: 17619315

Amount of Each Receipt this Period
3000.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Mark E. Hannum

Mailing Address 708 Jamestown Drive

City State Zip Code
Gulf Breeze FL 32561-4507

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 0 / 2 0 0 9

Transaction ID: 17619494

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **4250.00**

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 51 / 70
	<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. Morris A. Searcy	Date of Receipt MM / DD / YYYY 10 / 20 / 2009
	Mailing Address 3356 Lagrange Rd	Transaction ID: 17619524
	City State Zip Code Shelbyville KY 40065-9094	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation First VP- Investments	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. David G. Wilson, Jr.	Date of Receipt MM / DD / YYYY 10 / 20 / 2009
	Mailing Address 6026 NW El Rey Drive	Transaction ID: 17619803
	City State Zip Code Camas WA 98607-9123	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Sr. Vice President- Investments	
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) Mr. Daniel S. Wigtun	Date of Receipt MM / DD / YYYY 10 / 20 / 2009
	Mailing Address 3052 Conrads Trail	Transaction ID: 17619805
	City State Zip Code Marion OH 43302-8373	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice President/Branch Manager	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	750.00
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 52 / 70
(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)
Ms. Lynn Heatwole

Mailing Address 283 Bryn Drive

City State Zip Code
Granville OH 43023-1503

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 0 / 2 0 0 9

Transaction ID: 17619814

Amount of Each Receipt this Period
250.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. Paul Coffee

Mailing Address 1549 East Maplewood Court

City State Zip Code
Centennial CO 80121-2400

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Director, Rocky Mountain Region

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

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 0 / 2 0 0 9

Transaction ID: 17620588

Amount of Each Receipt this Period
500.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Robert W. Beckmann, Jr.

Mailing Address 2138 Riding Trail

City State Zip Code
Chesterfield MO 63005-4570

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated VP-Investments/Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 0 / 2 0 0 9

Transaction ID: 17621779

Amount of Each Receipt this Period
250.00

Contribution

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

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

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

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

FOR LINE NUMBER: PAGE 53 / 70
(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

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

Mailing Address 5730 N Casa Blanca Drive

City State Zip Code
Paradise Valley AZ 85253-5260

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior VP/Investments

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 0 / 2 0 0 9

Transaction ID: 17621780

Amount of Each Receipt this Period
250.00

Contribution

B. Full Name (Last, First, Middle Initial)
Mr. Gregory A. Niebler

Mailing Address 1800 Sarah Lane Suite, 180

City State Zip Code
Brookfield WI 53045

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated First Vice President/Branch Manager

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 1 / 2 0 0 9

Transaction ID: 17623663

Amount of Each Receipt this Period
250.00

Contribution

C. Full Name (Last, First, Middle Initial)
Mr. Manuel Palan

Mailing Address 8 Sackston Woods

City State Zip Code
Saint Louis MO 63141-8228

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments

Receipt For: Aggregate Year-to-Date ▼
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 1 / 2 0 0 9

Transaction ID: 17623695

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► 750.00

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 54 / 70

(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) David Krasner	Date of Receipt M M / D D / Y Y Y Y Y 1 0 / 0 9 / 2 0 0 9
	Mailing Address 100 Disbrow Lane	Transaction ID: 17623699
	City State Zip Code New Rochelle NY 10804-3230	Amount of Each Receipt this Period 55.56
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Securities Industry and Financial Mark	Occupation Controller	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 944.52	

B.	Full Name (Last, First, Middle Initial) Mr. Thomas F Price	Date of Receipt M M / D D / Y Y Y Y Y 1 0 / 0 9 / 2 0 0 9
	Mailing Address 585 Farview Avenue	Transaction ID: 17623700
	City State Zip Code Wyckoff NJ 07481-1141	Amount of Each Receipt this Period 166.67
	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 ▼ 833.35	

C.	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt M M / D D / Y Y Y Y Y 1 0 / 0 9 / 2 0 0 9
	Mailing Address 8424 Frost Way	Transaction ID: 17623702
	City State Zip Code Annandale VA 22003-2221	Amount of Each Receipt this Period 50.00
	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 ▼ 1350.00	

SUBTOTAL of Receipts This Page (optional) ▶

272.23

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: PAGE 55 / 70
(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

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)
Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City Port Monmouth State NJ Zip Code 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 ▼ 714.40

Date of Receipt 10 / 09 / 2009
Transaction ID: 17623703
Amount of Each Receipt this Period 35.72
Contribution

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

Mailing Address 100 Disbrow Lane

City New Rochelle State NY Zip Code 10804-3230

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

Name of Employer Securities Industry and Financial Mark Occupation Controller

Receipt For: Primary General Other (specify) ▼ Aggregate Year-to-Date ▼ 1000.00

Date of Receipt 10 / 23 / 2009
Transaction ID: 17623706
Amount of Each Receipt this Period 55.48
Contribution

C. Full Name (Last, First, Middle Initial)
Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City Wyckoff State NJ Zip Code 07481-1141

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 10 / 23 / 2009
Transaction ID: 17623707
Amount of Each Receipt this Period 166.65
Contribution

SUBTOTAL of Receipts This Page (optional) ► 257.85

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 56 / 70
(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

Mailing Address 8424 Frost Way

City Annandale State VA Zip Code 22003-2221

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 ▼ 1400.00

Date of Receipt 10 / 23 / 2009

Transaction ID: 17623708

Amount of Each Receipt this Period 50.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Marin E. Gibson

Mailing Address 796 Port Monmouth Rd.

City Port Monmouth State NJ Zip Code 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 ▼ 750.00

Date of Receipt 10 / 23 / 2009

Transaction ID: 17623710

Amount of Each Receipt this Period 35.60

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. Raymond J. Palmer

Mailing Address 815 Honeywood Drive

City Lake Saint Louis State MO Zip Code 63367-2640

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

Name of Employer Stifel, Nicolaus & Company, Incorporated Occupation Vice President/Investments

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 10 / 21 / 2009

Transaction ID: 17623718

Amount of Each Receipt this Period 250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ► **335.60**

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: PAGE 57 / 70

(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. William O. Haug

Mailing Address 114 Gentle Hills

City

Grand Forks

State

ND

Zip Code

58201-7922

FEC ID number of contributing federal political committee.

C

Name of Employer
Stifel, Nicolaus & Company, Incorporated

Occupation

Branch Manager

Receipt For:

Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

MM / DD / YYYY
10 / 21 / 2009

Transaction ID: 17623721

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Bruce J. Loder

Mailing Address 7325 N. Santa Monica Blvd.

City

Milwaukee

State

WI

Zip Code

53217-3508

FEC ID number of contributing federal political committee.

C

Name of Employer
Stifel, Nicolaus & Company, Incorporated

Occupation

VP/Branch Manager

Receipt For:

Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

MM / DD / YYYY
10 / 21 / 2009

Transaction ID: 17623750

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Ms. Sheila Steury

Mailing Address 88 North 33rd Street

City

Newark

State

OH

Zip Code

43055-2040

FEC ID number of contributing federal political committee.

C

Name of Employer
Stifel, Nicolaus & Company, Incorporated

Occupation

Vice President

Receipt For:

Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

MM / DD / YYYY
10 / 22 / 2009

Transaction ID: 17623770

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional) ▶

750.00

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 58 / 70
	<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. Michael Molloy	Date of Receipt MM / DD / YYYY 10 / 22 / 2009
	Mailing Address 116 Enfield Rd	Transaction ID: 17624277
	City State Zip Code Baltimore MD 21212-3328	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation SVP/ Branch Manager	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Mr. Jeffrey Brummet	Date of Receipt MM / DD / YYYY 10 / 22 / 2009
	Mailing Address 100 S. Bishop, Suite A	Transaction ID: 17625688
	City State Zip Code Rolla MO 65401-4213	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Vice 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) Mr Steven D Black	Date of Receipt MM / DD / YYYY 10 / 22 / 2009
	Mailing Address 808 North Street	Transaction ID: 17640616
	City State Zip Code Greenwich CT 06831-3108	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 Co-CEO	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	

SUBTOTAL of Receipts This Page (optional)	5500.00
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 59 / 70
(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

A. Full Name (Last, First, Middle Initial)
Mr. John W. McCoy, Jr.
Mailing Address 4542 Iron River Dr.
City State Zip Code
Corpus Christi TX 78410-5821
FEC ID number of contributing federal political committee. **C**
Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager
Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) **250.00**
Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 2 / 2 0 0 9
Transaction ID: 17640766
Amount of Each Receipt this Period
250.00
Contribution

B. Full Name (Last, First, Middle Initial)
Mr. Theodore M. Sanders
Mailing Address 1604 Congress Way
City State Zip Code
Saint Charles MO 63303-8444
FEC ID number of contributing federal political committee. **C**
Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager
Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) **250.00**
Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 2 / 2 0 0 9
Transaction ID: 17641496
Amount of Each Receipt this Period
250.00
Contribution

C. Full Name (Last, First, Middle Initial)
Mr. David Luna
Mailing Address 431 Doyle Drive
City State Zip Code
San Gabriel CA 91775-2835
FEC ID number of contributing federal political committee. **C**
Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Branch Manager
Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) **250.00**
Date of Receipt
M M / D D / Y Y Y Y Y
1 0 / 2 2 / 2 0 0 9
Transaction ID: 17641546
Amount of Each Receipt this Period
250.00
Contribution

SUBTOTAL of Receipts This Page (optional) **750.00**
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 60 / 70		
	<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

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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. Richard F. Brueckner		Date of Receipt
	Mailing Address P.O. Box 1015		<input type="text" value="10"/> / <input type="text" value="29"/> / <input type="text" value="2009"/>
	City	State	Zip Code
	Bedminster	NJ	07921-1015
	FEC ID number of contributing federal political committee.	<input type="text" value="C"/>	Transaction ID: 17641618
Name of Employer Pershing LLC		Occupation Chief Executive Officer	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="5000.00"/>
			Contribution

B.	Full Name (Last, First, Middle Initial) Mr. James J. Tricoli		Date of Receipt
	Mailing Address 709 Great Springs Road		<input type="text" value="10"/> / <input type="text" value="28"/> / <input type="text" value="2009"/>
	City	State	Zip Code
	Bryn Mawr	PA	19010-1703
	FEC ID number of contributing federal political committee.	<input type="text" value="C"/>	Transaction ID: 17641621
Name of Employer RBC Dain Rauscher Corp.		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="2500.00"/>
			Contribution

C.	Full Name (Last, First, Middle Initial) Mr. James Collini		Date of Receipt
	Mailing Address 520 Zenith Ridge Drive		<input type="text" value="10"/> / <input type="text" value="28"/> / <input type="text" value="2009"/>
	City	State	Zip Code
	Danville	CA	94506-1355
	FEC ID number of contributing federal political committee.	<input type="text" value="C"/>	Transaction ID: 17641677
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Senior Vice President	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)	<input type="text" value="7750.00"/>
TOTAL This Period (last page this line number only)	<input type="text"/>

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 61 / 70
	<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 A. Bergeron	Date of Receipt MM / DD / YYYY 10 / 28 / 2009
	Mailing Address 5466 44th Street, SE	Transaction ID: 17643599
	City State Zip Code Delano MN 55328-5318	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation RBC Dain Rauscher Corp. Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

B.	Full Name (Last, First, Middle Initial) Ms. Marilyn P. Wenrick	Date of Receipt MM / DD / YYYY 10 / 30 / 2009
	Mailing Address 2020 Cardigan Ave	Transaction ID: 17652025
	City State Zip Code Columbus OH 43212-2718	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice 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) Mr. Harvey Novack	Date of Receipt MM / DD / YYYY 10 / 30 / 2009
	Mailing Address 10167 Winding Ridge Road	Transaction ID: 17652625
	City State Zip Code Saint Louis MO 63124-1157	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Occupation Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

SUBTOTAL of Receipts This Page (optional)	750.00
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 62 / 70

(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. C. Bryan Stott

Mailing Address 1921 Tabby Lane

City State Zip Code
Altavista VA 24517-2021

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt
MM / DD / YYYY
10 / 30 / 2009

Transaction ID: 17652634

Amount of Each Receipt this Period
250.00

Contribution

B.

Full Name (Last, First, Middle Initial)
Mr. J.M. Wilday

Mailing Address Tuscany Plaza
6312 South Fiddlers Green Circle,

City State Zip Code
Greenwood Village CO 80111

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments

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

Date of Receipt
MM / DD / YYYY
10 / 30 / 2009

Transaction ID: 17652652

Amount of Each Receipt this Period
500.00

Contribution

C.

Full Name (Last, First, Middle Initial)
Mr. James A. Fulp

Mailing Address 1311 Snell Harbor Drive, NE

City State Zip Code
Saint Petersburg FL 33704-3033

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

Name of Employer Occupation
Raymond James Financial, Inc. Executive Vice President

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

Date of Receipt
MM / DD / YYYY
10 / 30 / 2009

Transaction ID: 17652693

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 63 / 70

(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. Henry Otten

Mailing Address 1135 Braircliff Trail

City State Zip Code
Brookfield WI 53045-4611

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt

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

Transaction ID: 17652694

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Buz Zamarron

Mailing Address 6674 Center Road

City State Zip Code
Traverse City MI 49686-1801

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

Name of Employer Occupation
Stifel, Nicolaus & Company, Incorporated Senior Vice President/Investments

Receipt For: Aggregate Year-to-Date
 Primary General
 Other (specify) ▼ 250.00

Date of Receipt

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

Transaction ID: 17652913

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

500.00

TOTAL This Period (last page this line number only)

85301.68

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 64 / 70
(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

A. Full Name (Last, First, Middle Initial)
Bank of America Federal PAC

Mailing Address 1455 Pennsylvania Ave NW Suite 950
DC8-455-09-01

City Washington State DC Zip Code 20004

FEC ID number of contributing federal political committee. **C** C00364778

Name of Employer Occupation

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 5000.00

Date of Receipt: 10 / 07 / 2009
Transaction ID: 17596731
 Amount of Each Receipt this Period: 5000.00
Contribution

B. Full Name (Last, First, Middle Initial)
UBS Americas Fund for Better Government

Mailing Address 1285 Avenue of the Americas
14th Floor

City New York State NY Zip Code 10019

FEC ID number of contributing federal political committee. **C** C00012245

Name of Employer Occupation

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 5000.00

Date of Receipt: 10 / 20 / 2009
Transaction ID: 17619292
 Amount of Each Receipt this Period: 5000.00
Contribution

C. Full Name (Last, First, Middle Initial)
J.P. Morgan Chase & Co. Political Action Committee

Mailing Address 10 South Dearborn Streer
IL 1-0520

City Chicago State IL Zip Code 60603

FEC ID number of contributing federal political committee. **C** C00128512

Name of Employer Occupation

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 5000.00

Date of Receipt: 10 / 22 / 2009
Transaction ID: 17640449
 Amount of Each Receipt this Period: 5000.00
Contribution

SUBTOTAL of Receipts This Page (optional) ► 15000.00

TOTAL This Period (last page this line number only) ► 15000.00

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:		PAGE 65 / 70	
	(check only one)			
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input checked="" type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17

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

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="1"/> <input type="text" value="0"/> / <input type="text" value="2"/> <input type="text" value="0"/> / <input type="text" value="2"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="9"/>
	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="1327.26"/>	Transaction ID: 17619284
			Amount of Each Receipt this Period <input type="text" value="223.57"/>
			Bank Fee Reimbursement

SUBTOTAL of Receipts This Page (optional)	<input type="text" value="223.57"/>
TOTAL This Period (last page this line number only)	<input type="text" value="223.57"/>

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

A.	Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW City Washington State DC Zip Code 20005 Purpose of Disbursement Bank Fees Candidate Name Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17592861 Date of Disbursement 10 / 05 / 2009 Amount of Each Disbursement this Period 44.26 Bank Fees	001 Category/ Type
B.	Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW City Washington State DC Zip Code 20005 Purpose of Disbursement Bank Fees Candidate Name Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17592865 Date of Disbursement 10 / 02 / 2009 Amount of Each Disbursement this Period 0.38 Bank Fees	001 Category/ Type
C.	Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW City Washington State DC Zip Code 20005 Purpose of Disbursement Bank Fees Candidate Name Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17592866 Date of Disbursement 10 / 02 / 2009 Amount of Each Disbursement this Period 4.95 Bank Fees	001 Category/ Type

SUBTOTAL of Disbursements This Page (optional) ▶	49.59
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

A. Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW City Washington State DC Zip Code 20005 Purpose of Disbursement Bank Fees Candidate Name Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17592868 Date of Disbursement 10 / 02 / 2009
	Amount of Each Disbursement this Period 23.32 Bank Fees
B. Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW City Washington State DC Zip Code 20005 Purpose of Disbursement Bank Fees Candidate Name Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District: Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17592869 Date of Disbursement 10 / 02 / 2009
	Amount of Each Disbursement this Period 150.66 Bank Fees

SUBTOTAL of Disbursements This Page (optional)	173.98
TOTAL This Period (last page this line number only)	223.57

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) DCCC <hr/> Mailing Address 430 South Capitol Street, SE <hr/> City Washington State DC Zip Code 20003 Purpose of Disbursement Contribution Candidate Name DCCC Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: District:	Transaction ID: 17618250 Date of Disbursement 10 / 19 / 2009
	Amount of Each Disbursement this Period 5000.00
	Contribution
	Category/Type 011
B. Full Name (Last, First, Middle Initial) Blue Dog PAC <hr/> Mailing Address 227 Massachusetts Avenue Suite 101 <hr/> City Washington State DC Zip Code 20002 Purpose of Disbursement Contribution Candidate Name Blue Dog PAC Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: District:	Transaction ID: 17650583 Date of Disbursement 10 / 29 / 2009
	Amount of Each Disbursement this Period 5000.00
	Contribution
	Category/Type 011
C. Full Name (Last, First, Middle Initial) Rush Holt for Congress <hr/> Mailing Address Post Office Box 782 <hr/> City Pennington State NJ Zip Code 08534 Purpose of Disbursement Contribution Candidate Name Rep. Rush Holt Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: NJ District: 12	Transaction ID: 17650585 Date of Disbursement 10 / 29 / 2009
	Amount of Each Disbursement this Period 2000.00
	Contribution
	Category/Type 011

SUBTOTAL of Disbursements This Page (optional) ▶

12000.00

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

A.	Full Name (Last, First, Middle Initial) Moderate Democrats PAC <hr/> Mailing Address 426 C Street, NE <hr/> City Washington State DC Zip Code 20002 <hr/> Purpose of Disbursement Contribution Candidate Name Moderate Democrats PAC Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: District:	Transaction ID: 17650587 Date of Disbursement 10 / 29 / 2009	
		Amount of Each Disbursement this Period 5000.00	Contribution
B.	Full Name (Last, First, Middle Initial) National Republican Senatorial Committee <hr/> Mailing Address 425 2nd Street, NE <hr/> City Washington State DC Zip Code 20002 <hr/> Purpose of Disbursement Contribution Candidate Name National Republican Senatorial Committee Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: District:	Transaction ID: 17650588 Date of Disbursement 10 / 29 / 2009	
		Amount of Each Disbursement this Period 10000.00	Contribution
C.	Full Name (Last, First, Middle Initial) Royce Campaign Committee <hr/> Mailing Address PO Boc 2525 <hr/> City Orange State CA Zip Code 92859 <hr/> Purpose of Disbursement Contribution Candidate Name Rep. Ed Royce Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: CA District: 39	Transaction ID: 17650589 Date of Disbursement 10 / 29 / 2009	
		Amount of Each Disbursement this Period 1000.00	Contribution

SUBTOTAL of Disbursements This Page (optional)	16000.00
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 70 / 70

<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)

Freedom Fund

Mailing Address 1155 21st Street, NW
Suite 300

City Washington State DC Zip Code 20036

Purpose of Disbursement
Contribution

Candidate Name
Freedom Fund

Office Sought: House
 Senate
 President

State: District:

Disbursement For: Primary General
 Other (specify) ▼

Transaction ID: 17650590

Date of Disbursement

10 / 29 / 2009

Amount of Each Disbursement this Period

1500.00

Contribution

011
Category/
Type

SUBTOTAL of Disbursements This Page (optional)

1500.00

TOTAL This Period (last page this line number only)

29500.00