

# 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 09 01 2009 through 09 30 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 10 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									
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**FEC FORM 3X**  
(Rev. 12/2004)

**SUMMARY PAGE**  
**OF RECEIPTS AND DISBURSEMENTS**

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

Report Covering the Period: From: 

M	M
0	9

D	D
0	1

Y	Y	Y	Y
2	0	0	9

 To: 

M	M
0	9

D	D
3	0

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 .....	48170.59									
(c) Total Receipts (from Line 19) .....	31107.44	141214.78								
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B) .....	79278.03	181729.48								
7. Total Disbursements (from Line 31) .....	56693.77	159145.22								
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	22584.26	22584.26								
9. Debts and Obligations owed <b>TO</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00									
10. Debts and Obligations owed <b>BY</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00									

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

**For further information contact:**

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

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

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From:    To:

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A) .....	30115.90	107922.37
(ii) Unitemized .....	790.00	14680.95
(iii) TOTAL (add Lines 11(a)(i) and (ii) .....	30905.90	122603.32
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs) .....	0.00	14000.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5) .....	30905.90	136603.32
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) .....	193.77	1103.69
16. Refunds of Contributions Made to Federal candidates and Other Political Committees .....	0.00	3500.00
17. Other Federal Receipts (Dividends, Interest, etc.) .....	7.77	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)) .....	31107.44	141214.78
20. Total Federal Receipts (subtract Line 18(c) from Line 19) .....	31107.44	141214.78

**DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

<b>II. DISBURSEMENTS</b>	<b>COLUMN A Total This Period</b>	<b>COLUMN B Calendar Year-to-Date</b>
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.....	193.77	1645.22
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ▶	193.77	1645.22
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	56500.00	145000.00
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))..	56693.77	159145.22
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	56693.77	159145.22

**DETAILED SUMMARY PAGE**  
of Disbursements

FEC Form 3X (Rev. 02/2003)

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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 .....	30905.90	136603.32
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	12500.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	30905.90	124103.32
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	193.77	1645.22
37. Offsets to Operating Expenditures (from Line 15, page 3) .....	193.77	1103.69
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: PAGE 6 / 25  
(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. Bill Hubbard

Mailing Address 345 California Street

City State Zip Code  
San Francisco CA 94104-2635

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

Name of Employer Occupation  
RBC Dain Rauscher Corp. Regional Director

Receipt For:  Primary  General  Other (specify) ▼

Aggregate Year-to-Date ▼ 500.00

Date of Receipt: 09 / 01 / 2009  
Transaction ID: 17507330  
Amount of Each Receipt this Period: 500.00  
Contribution

**B.** Full Name (Last, First, Middle Initial)  
Ms. Mary Zimmer

Mailing Address 848 Brenner Avenue

City State Zip Code  
Roseville MN 55113-1904

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

Name of Employer Occupation  
RBC Dain Rauscher Corp. Department Head

Receipt For:  Primary  General  Other (specify) ▼

Aggregate Year-to-Date ▼ 2500.00

Date of Receipt: 09 / 02 / 2009  
Transaction ID: 17511151  
Amount of Each Receipt this Period: 2500.00  
Contribution

**C.** Full Name (Last, First, Middle Initial)  
Douglas E. Artus

Mailing Address 1450 N. Dearborn Street

City State Zip Code  
Chicago IL 60610-1576

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

Name of Employer Occupation  
RBC Dain Rauscher Corp. Complex Director

Receipt For:  Primary  General  Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 09 / 02 / 2009  
Transaction ID: 17511152  
Amount of Each Receipt this Period: 250.00  
Contribution

**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 / 25  
(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><b>A.</b> Full Name (Last, First, Middle Initial) Warren B Bischoff</p> <p>Mailing Address 4329 Warren Street</p> <p>City State Zip Code Washington DC 20016-2437</p> <p>FEC ID number of contributing federal political committee. <span style="border: 1px solid black; padding: 2px;">C</span></p> <p>Name of Employer Occupation RBC Dain Rauscher Corp. Senior Managing Director</p> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼ <span style="border: 1px solid black; padding: 2px;">500.00</span></p>	<p>Date of Receipt <span style="border: 1px solid black; padding: 2px;">M M / D D / Y Y Y Y</span> 09 / 04 / 2009</p> <p><b>Transaction ID:</b> 17512172</p> <p>Amount of Each Receipt this Period <span style="border: 1px solid black; padding: 2px;">500.00</span></p> <p>Contribution</p>
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<p><b>B.</b> Full Name (Last, First, Middle Initial) Mr. John G. Taft</p> <p>Mailing Address 1418 Mount Curve Avenue</p> <p>City State Zip Code Minneapolis MN 55403-1010</p> <p>FEC ID number of contributing federal political committee. <span style="border: 1px solid black; padding: 2px;">C</span></p> <p>Name of Employer Occupation RBC Dain Rauscher Corp. President and CEO</p> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼ <span style="border: 1px solid black; padding: 2px;">5000.00</span></p>	<p>Date of Receipt <span style="border: 1px solid black; padding: 2px;">M M / D D / Y Y Y Y</span> 09 / 08 / 2009</p> <p><b>Transaction ID:</b> 17513438</p> <p>Amount of Each Receipt this Period <span style="border: 1px solid black; padding: 2px;">5000.00</span></p> <p>Contribution</p>
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<p><b>C.</b> Full Name (Last, First, Middle Initial) W. Michael Crowell</p> <p>Mailing Address 114 Marlbrook Road</p> <p>City State Zip Code Severna Park MD 21146-4412</p> <p>FEC ID number of contributing federal political committee. <span style="border: 1px solid black; padding: 2px;">C</span></p> <p>Name of Employer Occupation RBC Dain Rauscher Corp. Complex Director</p> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼ <span style="border: 1px solid black; padding: 2px;">500.00</span></p>	<p>Date of Receipt <span style="border: 1px solid black; padding: 2px;">M M / D D / Y Y Y Y</span> 09 / 07 / 2009</p> <p><b>Transaction ID:</b> 17513444</p> <p>Amount of Each Receipt this Period <span style="border: 1px solid black; padding: 2px;">500.00</span></p> <p>Contribution</p>
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<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<span style="border: 1px solid black; padding: 2px;">6000.00</span>
<b>TOTAL</b> This Period (last page this line number only) .....	<span style="border: 1px solid black; padding: 2px;"> </span>

# 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 / 25
	<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

<b>A.</b>	Full Name (Last, First, Middle Initial) Ms. Alexandra Lebenthal	Date of Receipt MM / DD / YYYY 09 / 11 / 2009
	Mailing Address 17 East 96 Street Apt. 9-A	<b>Transaction ID:</b> 17521387
	City State Zip Code New York NY 10128	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer Occupation Alexandra & James President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. Robert F Shuck	Date of Receipt MM / DD / YYYY 09 / 11 / 2009
	Mailing Address 13606 Eagles Walk	<b>Transaction ID:</b> 17521392
	City State Zip Code Clearwater FL 33762-5529	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer Occupation Raymond James Financial, Inc. Vice Chairman (Emeritus)	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

<b>C.</b>	Full Name (Last, First, Middle Initial) Ms. Blythe S.J. Masters	Date of Receipt MM / DD / YYYY 09 / 15 / 2009
	Mailing Address 150 Reade Street	<b>Transaction ID:</b> 17524469
	City State Zip Code New York NY 10013	Amount of Each Receipt this Period 5000.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer Occupation J.P. Morgan Securities Inc. Global Head	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	6250.00
<b>TOTAL</b> 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 / 25
	<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

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. Peter D. Cherasia	Date of Receipt MM / DD / YYYY 09 / 15 / 2009
	Mailing Address 96 West River Road	<b>Transaction ID:</b> 17524470
	City State Zip Code Rumson NJ 07760-1139	Amount of Each Receipt this Period 4000.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer J.P. Morgan Securities Inc.	Occupation Chief Information Officer	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 4000.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) David Krasner	Date of Receipt MM / DD / YYYY 09 / 11 / 2009
	Mailing Address 100 Disbrow Lane	<b>Transaction ID:</b> 17524472
	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. <b>C</b>	<b>Contribution</b>
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 ▼ 833.40	

<b>C.</b>	Full Name (Last, First, Middle Initial) Mr. Thomas F Price	Date of Receipt MM / DD / YYYY 09 / 11 / 2009
	Mailing Address 585 Farview Avenue	<b>Transaction ID:</b> 17524473
	City State Zip Code Wyckoff NJ 07481-1141	Amount of Each Receipt this Period 166.67
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
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 ▼ 500.01	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>4222.23</b>
<b>TOTAL</b> 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 / 25
	<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

<b>A.</b>	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt MM / DD / YYYY 09 / 11 / 2009
	Mailing Address 8424 Frost Way	<b>Transaction ID:</b> 17524474
	City Annandale State VA Zip Code 22003-2221	Amount of Each Receipt this Period 50.00
	FEC ID number of contributing federal political committee. <b>C</b>	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 ▼ 1250.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Marin E. Gibson	Date of Receipt MM / DD / YYYY 09 / 11 / 2009
	Mailing Address 796 Port Monmouth Rd.	<b>Transaction ID:</b> 17524475
	City Port Monmouth State NJ Zip Code 07758-1676	Amount of Each Receipt this Period 35.72
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer: Securities Industry and Financial Mark Occupation: Managing Director & Counsel Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 642.96	

<b>C.</b>	Full Name (Last, First, Middle Initial) Michael P Doyle	Date of Receipt MM / DD / YYYY 09 / 15 / 2009
	Mailing Address 1353 Stony Brook Lane	<b>Transaction ID:</b> 17524491
	City Mountainside State NJ Zip Code 07092-1847	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer: Pershing LLC Occupation: Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 250.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>335.72</b>
<b>TOTAL</b> This Period (last page this line number only) .....	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 11 / 25
	<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

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. Jon Scheller	Date of Receipt MM / DD / YYYY 09 / 21 / 2009
	Mailing Address 46 Clair Street	<b>Transaction ID:</b> 17533434
	City State Zip Code Bloomfield NJ 07003-4137	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Pershing LLC	Occupation Managing Director - People Services	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. Scott B. McCuaig	Date of Receipt MM / DD / YYYY 09 / 22 / 2009
	Mailing Address 15 Portland Place	<b>Transaction ID:</b> 17533805
	City State Zip Code Saint Louis MO 63108-1203	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

<b>C.</b>	Full Name (Last, First, Middle Initial) Mr Richard J. Himelfarb	Date of Receipt MM / DD / YYYY 09 / 22 / 2009
	Mailing Address 116 Taplow Road	<b>Transaction ID:</b> 17533806
	City State Zip Code Baltimore MD 21212-3312	Amount of Each Receipt this Period 1000.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Stifel, Nicolaus & Company, Incorporated	Occupation Senior Executive Vice President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>2500.00</b>
<b>TOTAL</b> 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 / 25
	<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

<b>A.</b>	Full Name (Last, First, Middle Initial) David Krasner	Date of Receipt MM / DD / YYYY 09 / 25 / 2009
	Mailing Address 100 Disbrow Lane	<b>Transaction ID:</b> 17542709
	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. <b>C</b>	Contribution
	Name of Employer Securities Industry and Financial Mark	
Occupation Controller	Aggregate Year-to-Date 888.96	

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. Thomas F Price	Date of Receipt MM / DD / YYYY 09 / 25 / 2009
	Mailing Address 585 Farview Avenue	<b>Transaction ID:</b> 17543448
	City State Zip Code Wyckoff NJ 07481-1141	Amount of Each Receipt this Period 166.67
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer Securities Industry and Financial Mark	
Occupation Managing Director	Aggregate Year-to-Date 666.68	

<b>C.</b>	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt MM / DD / YYYY 09 / 25 / 2009
	Mailing Address 8424 Frost Way	<b>Transaction ID:</b> 17543450
	City State Zip Code Annandale VA 22003-2221	Amount of Each Receipt this Period 50.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
	Name of Employer Securities Industry and Financial Mark	
Occupation Managing Director	Aggregate Year-to-Date 1300.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>272.23</b>
<b>TOTAL</b> 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 / 25  
(check only one)

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

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

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

Mailing Address 796 Port Monmouth Rd.

City State Zip Code  
Port Monmouth NJ 07758-1676

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

Name of Employer: Securities Industry and Financial Mark  
Occupation: Managing Director & Counsel

Receipt For:  
 Primary  General  
 Other (specify) ▼

Aggregate Year-to-Date ▼ 678.68

Date of Receipt: 09 / 25 / 2009  
**Transaction ID: 17543451**  
Amount of Each Receipt this Period: 35.72  
Contribution

**B.** Full Name (Last, First, Middle Initial)  
Mr. Ted Bragg

Mailing Address 471 Heights Road

City State Zip Code  
Ridgewood NJ 07450-1511

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

Name of Employer: Pershing LLC  
Occupation: Managing Director

Receipt For:  
 Primary  General  
 Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt: 09 / 29 / 2009  
**Transaction ID: 17553820**  
Amount of Each Receipt this Period: 1000.00  
Contribution

**C.** Full Name (Last, First, Middle Initial)  
Mr. Richard G. Averitt, III

Mailing Address 6755 30th Street South

City State Zip Code  
Saint Petersburg FL 33712-5519

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

Name of Employer: Raymond James Financial, Inc.  
Occupation: Chairman & CEO

Receipt For:  
 Primary  General  
 Other (specify) ▼

Aggregate Year-to-Date ▼ 5000.00

Date of Receipt: 09 / 29 / 2009  
**Transaction ID: 17553821**  
Amount of Each Receipt this Period: 5000.00  
Contribution

**SUBTOTAL** of Receipts This Page (optional) ..... ► **6035.72**

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:	PAGE 14 / 25
	(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

<b>A.</b>	Full Name (Last, First, Middle Initial) Ms. Lucille M. Mayer		Date of Receipt
	Mailing Address 25 Castle Court		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y 09 / 29 / 2009
	City	State	Zip Code
	Randolph	NJ	07869-2024
	FEC ID number of contributing federal political committee.		Transaction ID: 17553919
Name of Employer Pershing LLC		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"/> 250.00
			Contribution

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. Ben A. Plotkin		Date of Receipt
	Mailing Address 225 Regatta Drive		<input type="text"/> M M / <input type="text"/> D D / <input type="text"/> Y Y Y Y 09 / 29 / 2009
	City	State	Zip Code
	Jupiter	FL	33477-4075
	FEC ID number of contributing federal political committee.		Transaction ID: 17553920
Name of Employer Stifel, Nicolaus & Company, Incorporated		Occupation Executive 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"/> 1000.00
			Contribution

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<input type="text"/> 1250.00
<b>TOTAL</b> This Period (last page this line number only) .....	<input type="text"/> 30115.90

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER:		PAGE 15 / 25	
	(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		<table border="1"><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>0</td><td>9</td><td></td><td>1</td><td>5</td><td></td><td>2</td><td>0</td><td>0</td><td>9</td></tr></table>	M	M	/	D	D	/	Y	Y	Y	Y	0	9		1	5		2	0	0	9
M	M	/	D	D	/	Y	Y	Y	Y													
0	9		1	5		2	0	0	9													
City	State	Zip Code																				
New York	NY	10271																				
FEC ID number of contributing federal political committee.		Transaction ID: 17592879																				
C		Amount of Each Receipt this Period																				
		193.77																				
Name of Employer	Occupation																					
Receipt For:	Aggregate Year-to-Date ▼	Bank Fee Reimbursement																				
<input type="checkbox"/> Primary <input type="checkbox"/> General																						
<input type="checkbox"/> Other (specify) ▼	1103.69																					

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	▶	193.77
<b>TOTAL</b> This Period (last page this line number only) .....	▶	193.77

# 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

<b>A.</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: 17521378 Date of Disbursement 09 / 08 / 2009 Amount of Each Disbursement this Period 125.38 Bank Fees	001 Category/ Type
<b>B.</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: 17521379 Date of Disbursement 09 / 02 / 2009 Amount of Each Disbursement this Period 4.95 Bank Fees	001 Category/ Type
<b>C.</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: 17521381 Date of Disbursement 09 / 02 / 2009 Amount of Each Disbursement this Period 7.04 Bank Fees	001 Category/ Type

<b>SUBTOTAL</b> of Disbursements This Page (optional) ..... ▶	137.37
<b>TOTAL</b> This Period (last page this line number only) ..... ▶	[Empty Box]

# SCHEDULE B (FEC Form 3X) ITEMIZED DISBURSEMENTS

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

FOR LINE NUMBER: (check only one)

<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: 17521382 Date of Disbursement 09 / 02 / 2009 Amount of Each Disbursement this Period 15.54 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: 17521383 Date of Disbursement 09 / 02 / 2009 Amount of Each Disbursement this Period 34.86 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: 17521384 Date of Disbursement 09 / 01 / 2009 Amount of Each Disbursement this Period 6.00 Bank Fees	001 Category/ Type

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

56.40

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

193.77

# 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) <b>AMERIPAC</b> <hr/> Mailing Address <b>499 South Capitol St, SW Suite 414</b> <hr/> City <b>Washington</b> State <b>DC</b> Zip Code <b>20003</b> <hr/> Purpose of Disbursement Contribution <span style="float: right;"><input type="text" value="011"/></span> Candidate Name <hr/> 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:	<b>Transaction ID: 17533812</b> Date of Disbursement <input type="text" value="09"/> / <input type="text" value="22"/> / <input type="text" value="2009"/> <hr/> Amount of Each Disbursement this Period <input type="text" value="2500.00"/> <hr/> Contribution
B.	Full Name (Last, First, Middle Initial) <b>National Leadership PAC</b> <hr/> Mailing Address <b>P.O. Box 5577 Manhattanville Station</b> <hr/> City <b>New York</b> State <b>NY</b> Zip Code <b>10027</b> <hr/> Purpose of Disbursement Contribution <span style="float: right;"><input type="text" value="011"/></span> Candidate Name <b>National Leadership PAC</b> <hr/> 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:	<b>Transaction ID: 17533813</b> Date of Disbursement <input type="text" value="09"/> / <input type="text" value="22"/> / <input type="text" value="2009"/> <hr/> Amount of Each Disbursement this Period <input type="text" value="1000.00"/> <hr/> Contribution
C.	Full Name (Last, First, Middle Initial) <b>Congressional Black Caucus PAC</b> <hr/> Mailing Address <b>227 Massachusetts Avenue, NE Suite 201</b> <hr/> City <b>Washington</b> State <b>DC</b> Zip Code <b>20002</b> <hr/> Purpose of Disbursement Contribution <span style="float: right;"><input type="text" value="011"/></span> Candidate Name <b>Congressional Black Caucus PAC</b> <hr/> 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:	<b>Transaction ID: 17533814</b> Date of Disbursement <input type="text" value="09"/> / <input type="text" value="22"/> / <input type="text" value="2009"/> <hr/> Amount of Each Disbursement this Period <input type="text" value="2500.00"/> <hr/> Contribution

<b>SUBTOTAL</b> of Disbursements This Page (optional) .....	<input type="text" value="6000.00"/>
<b>TOTAL</b> This Period (last page this line number only) .....	<input type="text"/>

# 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

<b>A.</b>	Full Name (Last, First, Middle Initial) Friends Of Carolyn McCarthy <hr/> Mailing Address 151 Linden Road <hr/> City Mineola State NY Zip Code 11501 <hr/> Purpose of Disbursement Contribution Candidate Name Ms Carolyn McCarthy Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 04 Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17533815 Date of Disbursement 09 / 22 / 2009	Amount of Each Disbursement this Period 2500.00 Contribution
<b>B.</b>	Full Name (Last, First, Middle Initial) Kind for Congress Committee <hr/> Mailing Address 205 5th Avenue South, Suite 428 <hr/> City LaCrosse State WI Zip Code 54601 <hr/> Purpose of Disbursement Contribution Candidate Name Rep Ron Kind Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: WI District: 03 Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17533816 Date of Disbursement 09 / 22 / 2009	Amount of Each Disbursement this Period 1500.00 Contribution
<b>C.</b>	Full Name (Last, First, Middle Initial) Melissa Bean for Congress <hr/> Mailing Address PO Box 3068 <hr/> City Barrington State IL Zip Code 60011 <hr/> Purpose of Disbursement Contribution Candidate Name Rep. Melissa Bean Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: IL District: 08 Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17533818 Date of Disbursement 09 / 22 / 2009	Amount of Each Disbursement this Period 2500.00 Contribution

<b>SUBTOTAL</b> of Disbursements This Page (optional) ..... ▶	6500.00
<b>TOTAL</b> 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 20 / 25

<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) Bill Foster for Congress	Transaction ID: 17533819 Date of Disbursement 09 / 22 / 2009
	Mailing Address 50 E Street, SE Suite 1	Amount of Each Disbursement this Period 1000.00
	City Washington State DC Zip Code 20003	
	Purpose of Disbursement Contribution Candidate Name Bill Foster Category/Type 011	
	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: IL District: 14	Contribution

B.	Full Name (Last, First, Middle Initial) Democratic Senatorial Campaign Committee	Transaction ID: 17533820 Date of Disbursement 09 / 22 / 2009
	Mailing Address 120 Maryland Avenue, NE	Amount of Each Disbursement this Period 5000.00
	City Washington State DC Zip Code 20002	
	Purpose of Disbursement Contribution Candidate Name Democratic Senatorial Campaign Committee Category/Type 011	
	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:	Contribution

C.	Full Name (Last, First, Middle Initial) Friends Of Schumer	Transaction ID: 17533824 Date of Disbursement 09 / 22 / 2009
	Mailing Address 509 Madison Ave Suite 1902	Amount of Each Disbursement this Period 2500.00
	City New York State NY Zip Code 10022	
	Purpose of Disbursement Contribution Candidate Name Sen. Charles Schumer Category/Type 011	
	Office Sought: <input type="checkbox"/> House <input checked="" 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: NY District:	Contribution

<b>SUBTOTAL</b> of Disbursements This Page (optional) .....	<b>8500.00</b>
<b>TOTAL</b> 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) Bennet For Colorado <hr/> Mailing Address 1900 Grant Street Suite 1170 <hr/> City Denver State CO Zip Code 80203 <hr/> Purpose of Disbursement Contribution Candidate Name Mr. Michael Bennet Office Sought: <input type="checkbox"/> House <input checked="" type="checkbox"/> Senate <input type="checkbox"/> President State: CO District: Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17534376 Date of Disbursement 09 / 22 / 2009 <hr/> Amount of Each Disbursement this Period 500.00 <hr/> Contribution
B.	Full Name (Last, First, Middle Initial) Minnick For Congress <hr/> Mailing Address P.O. Box 636 <hr/> City Annandale State VA Zip Code 22003 <hr/> Purpose of Disbursement Contribution Candidate Name Rep. Walt Minnick Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: ID District: 01 Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17555538 Date of Disbursement 09 / 29 / 2009 <hr/> Amount of Each Disbursement this Period 2500.00 <hr/> Contribution
C.	Full Name (Last, First, Middle Initial) Childers For Congress <hr/> Mailing Address PO Box 177 <hr/> City Booneville State MS Zip Code 38829 <hr/> Purpose of Disbursement Contribution Candidate Name Mr. Travis Childers Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: MS District: 01 Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 17555540 Date of Disbursement 09 / 29 / 2009 <hr/> Amount of Each Disbursement this Period 2500.00 <hr/> Contribution

<b>SUBTOTAL</b> of Disbursements This Page (optional) ..... ▶	5500.00
<b>TOTAL</b> 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) Himes For Congress	Transaction ID: 17555541 Date of Disbursement 09 / 29 / 2009
	Mailing Address 50 E Street, SE Suite 1	Amount of Each Disbursement this Period 2000.00
	City Washington State DC Zip Code 20003	
	Purpose of Disbursement Contribution Candidate Name Mr. Jim Himes Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: CT District: 04	011 Category/ Type
	Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Contribution

B.	Full Name (Last, First, Middle Initial) Scott Murphy For Congress	Transaction ID: 17555544 Date of Disbursement 09 / 29 / 2009
	Mailing Address 615 Glen Street	Amount of Each Disbursement this Period 1000.00
	City Glens Falls State NY Zip Code 12801	
	Purpose of Disbursement Contribution Candidate Name Rep. Scott Murphy Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 20	011 Category/ Type
	Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Contribution

C.	Full Name (Last, First, Middle Initial) National Republican Congressional Committee	Transaction ID: 17555545 Date of Disbursement 09 / 29 / 2009
	Mailing Address 320 First Street, SE	Amount of Each Disbursement this Period 7500.00
	City Washington State DC Zip Code 20003	
	Purpose of Disbursement Contribution Candidate Name National Republican Congressional Committee Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	011 Category/ Type
	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Contribution

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

10500.00

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

<b>A.</b>	Full Name (Last, First, Middle Initial) National Republican Senatorial Committee  Mailing Address 425 2nd Street, NE  City Washington State DC Zip Code 20002  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:	<b>Transaction ID:</b> 17555546 <b>Date of Disbursement</b> M M / D D / Y Y Y Y 0 9 / 2 9 / 2 0 0 9	Amount of Each Disbursement this Period 5000.00  Contribution
<b>B.</b>	Full Name (Last, First, Middle Initial) Georgians for Isakson  Mailing Address P.O. Box 250116  City Atlanta State GA Zip Code 30325  Purpose of Disbursement Contribution Candidate Name Johnny Isakson Office Sought: <input type="checkbox"/> House <input checked="" 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: GA District:	<b>Transaction ID:</b> 17555548 <b>Date of Disbursement</b> M M / D D / Y Y Y Y 0 9 / 2 9 / 2 0 0 9	Amount of Each Disbursement this Period 1500.00  Contribution
<b>C.</b>	Full Name (Last, First, Middle Initial) Guthrie For Congress  Mailing Address PO Box 9639  City Bowling Green State KY Zip Code 42102  Purpose of Disbursement Contribution Candidate Name Rep. Brett Guthrie 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: KY District: 02	<b>Transaction ID:</b> 17556561 <b>Date of Disbursement</b> M M / D D / Y Y Y Y 0 9 / 3 0 / 2 0 0 9	Amount of Each Disbursement this Period 2000.00  Contribution

<b>SUBTOTAL</b> of Disbursements This Page (optional) .....	<b>8500.00</b>
<b>TOTAL</b> 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) Chris Lee For Congress	Transaction ID: 17556563 Date of Disbursement
	Mailing Address PO Box 15395	<input type="text" value="09"/> / <input type="text" value="30"/> / <input type="text" value="2009"/>
	City Rochester State NY Zip Code 14615	Amount of Each Disbursement this Period
	Purpose of Disbursement Contribution	<input type="text" value="2000.00"/>
	Candidate Name Rep. Christopher Lee	<input type="text" value="011"/> Category/Type
	Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: NY District: 26	Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Contribution

B.	Full Name (Last, First, Middle Initial) Neugebauer Congressional Committee	Transaction ID: 17556566 Date of Disbursement
	Mailing Address P.O. Box 54175	<input type="text" value="09"/> / <input type="text" value="30"/> / <input type="text" value="2009"/>
	City Lubbock State TX Zip Code 79413	Amount of Each Disbursement this Period
	Purpose of Disbursement Contribution	<input type="text" value="2000.00"/>
	Candidate Name Randy Neugebauer	<input type="text" value="011"/> Category/Type
	Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: TX District: 19	Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Contribution

C.	Full Name (Last, First, Middle Initial) Bachus for Congress	Transaction ID: 17556567 Date of Disbursement
	Mailing Address Po Box 131134	<input type="text" value="09"/> / <input type="text" value="30"/> / <input type="text" value="2009"/>
	City Birmingham State AL Zip Code 35213	Amount of Each Disbursement this Period
	Purpose of Disbursement Contribution	<input type="text" value="2500.00"/>
	Candidate Name Rep. Spencer Bachus	<input type="text" value="011"/> Category/Type
	Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: AL District: 06	Disbursement For: 2010 <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Contribution

<b>SUBTOTAL</b> of Disbursements This Page (optional) .....	<input type="text" value="6500.00"/>
<b>TOTAL</b> This Period (last page this line number only) .....	<input type="text"/>

**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) Shelby for U S Senate	Transaction ID: 17556568 Date of Disbursement 09 / 30 / 2009
	Mailing Address P.O. Box 1091	
	City Tuscaloosa State AL Zip Code 35403	Amount of Each Disbursement this Period 2500.00
	Purpose of Disbursement Contribution Candidate Name Sen. Richard C. Shelby Office Sought: <input type="checkbox"/> House <input checked="" type="checkbox"/> Senate <input type="checkbox"/> President Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ State: AL District:	Contribution 011 Category/Type

B.	Full Name (Last, First, Middle Initial) Tiberi for Congress	Transaction ID: 17558653 Date of Disbursement 09 / 30 / 2009
	Mailing Address 2021 E Dublin Granville Rd # 2000	
	City Columbus State OH Zip Code 43229	Amount of Each Disbursement this Period 1000.00
	Purpose of Disbursement Contribution Candidate Name Rep Patrick Tiberi 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: OH District: 12	Contribution 011 Category/Type

C.	Full Name (Last, First, Middle Initial) Roskam For Congress Committee	Transaction ID: 17558678 Date of Disbursement 09 / 30 / 2009
	Mailing Address 423 W. Wesley Street	
	City Wheaton State IL Zip Code 60189	Amount of Each Disbursement this Period 1000.00
	Purpose of Disbursement Contribution Candidate Name Rep. Peter Roskam 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: IL District: 06	Contribution 011 Category/Type

<b>SUBTOTAL</b> of Disbursements This Page (optional) .....	<b>4500.00</b>
<b>TOTAL</b> This Period (last page this line number only) .....	<b>56500.00</b>