

**SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS**

FEC Form 3X (Rev. 02/2003)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

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

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, <input type="text" value="2013"/>	<input type="text" value="185228.90"/>	<input type="text" value="185228.90"/>
(b) Cash on Hand at Beginning of Reporting Period.....	<input type="text" value="195559.69"/>	
(c) Total Receipts (from Line 19)	<input type="text" value="70237.26"/>	<input type="text" value="419056.21"/>
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	<input type="text" value="265796.95"/>	<input type="text" value="604285.11"/>
7. Total Disbursements (from Line 31).....	<input type="text" value="16648.07"/>	<input type="text" value="355136.23"/>
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)).....	<input type="text" value="249148.88"/>	<input type="text" value="249148.88"/>
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	<input type="text" value="0.00"/>	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	<input type="text" value="0.00"/>	

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

For further information contact:

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

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

DETAILED SUMMARY PAGE
of Receipts

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: / / 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).....	46167.90	310978.61
(ii) Unitemized	7684.30	17975.08
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ▶	53852.20	328953.69
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	15000.00	87500.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5)	68852.20	416453.69
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).....	1385.06	2602.52
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....	0.00	0.00
17. Other Federal Receipts (Dividends, Interest, etc.).....	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3).....	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfers (add 18(a) and 18(b))..	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))..... ▶	70237.26	419056.21
20. Total Federal Receipts (subtract Line 18(c) from Line 19)..... ▶	70237.26	419056.21

DETAILED SUMMARY PAGE
of Disbursements

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	648.07	3136.23
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	648.07	3136.23
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	16000.00	352000.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	16648.07	355136.23
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	16648.07	355136.23

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)	68852.20	416453.69
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	68852.20	416453.69
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	648.07	3136.23
37. Offsets to Operating Expenditures (from Line 15, page 3).....	1385.06	2602.52
38. Net Operating Expenditures (subtract Line 37 from Line 36)	-736.99	533.71

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 6 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. Tashtego Elwyn
 Full Name (Last, First, Middle Initial)
 Mailing Address 436 14th Avenue NE
 City Saint Petersburg State FL Zip Code 33701-1313
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation Division Director/Sr. VP
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 02 / 2013
Transaction ID : 21278623
 Amount of Each Receipt this Period
 500.00
 Contribution

B. Mr. Anthony M. D'Andrea Jr.
 Full Name (Last, First, Middle Initial)
 Mailing Address 811 Sunset Mountain Drive
 City Chattanooga State TN Zip Code 37421-2099
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation VP - Investments
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 250.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 03 / 2013
Transaction ID : 21295737
 Amount of Each Receipt this Period
 250.00
 Contribution

C. John W. Stokes
 Full Name (Last, First, Middle Initial)
 Mailing Address 50 N. Front Street 12th Floor
 City Memphis State TN Zip Code 38103-1112
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Morgan Keegan Occupation Broker/Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 450.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 03 / 2013
Transaction ID : 21295742
 Amount of Each Receipt this Period
 200.00
 Contribution

SUBTOTAL of Receipts This Page (optional).....▶	950.00
TOTAL This Period (last page this line number only).....▶	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 7 OF 45
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

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

A. Mr. Richard Greenwald
 Full Name (Last, First, Middle Initial)
 Mailing Address 360 River Road
 City State Zip Code
 Collegeville PA 19426-3026
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Raymond James Financial, Inc. Vice President/Investments
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 03 / 2013
Transaction ID : 21295743
 Amount of Each Receipt this Period
 500.00
 Contribution

B. Paul S Brinkley
 Full Name (Last, First, Middle Initial)
 Mailing Address 5212 Woodscape Drive
 City State Zip Code
 Wilmington NC 28409-3615
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 BB & T Capital Markets Junior Managing Director
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 250.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 03 / 2013
Transaction ID : 21295745
 Amount of Each Receipt this Period
 250.00
 Contribution

C. Van Thompson
 Full Name (Last, First, Middle Initial)
 Mailing Address 5202 Lexington Rd
 City State Zip Code
 Paris KY 40361-9047
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Raymond James Financial, Inc. Regional Manager
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 250.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 03 / 2013
Transaction ID : 21295746
 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 8 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

Full Name (Last, First, Middle Initial) A. Grady Thomas		Date of Receipt M M / D D / Y Y Y Y Y 12 / 03 / 2013 Transaction ID : 21295811
Mailing Address 1819 Octavia Street		Amount of Each Receipt this Period 250.00
City New Orleans	State LA	Zip Code 70115-5659
FEC ID number of contributing federal political committee. C	Name of Employer Raymond James Financial Services, Inc.	
Occupation Financial Advisor		Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

Full Name (Last, First, Middle Initial) B. John Meegan		Date of Receipt M M / D D / Y Y Y Y Y 12 / 04 / 2013 Transaction ID : 21299845
Mailing Address 1791 Tragove Avenue		Amount of Each Receipt this Period 500.00
City Pittsburgh	State PA	Zip Code 15241
FEC ID number of contributing federal political committee. C	Name of Employer Hefren-Tillotson, Inc.	
Occupation COO		Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

Full Name (Last, First, Middle Initial) C. Dr. Scott Brown		Date of Receipt M M / D D / Y Y Y Y Y 12 / 04 / 2013 Transaction ID : 21299846
Mailing Address 720 Rugby Street		Amount of Each Receipt this Period 250.00
City Orlando	State FL	Zip Code 32804-4900
FEC ID number of contributing federal political committee. C	Name of Employer Raymond James Financial, Inc.	
Occupation Senior Vice Pres./Chief Economist		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).....▶	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 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. Mr. Michael T. Ohlman
 Full Name (Last, First, Middle Initial)
 Mailing Address 805 137th Street E.
 City Bradenton State FL Zip Code 34212-9232
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation Sr. VP
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 2000.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 04 / 2013
Transaction ID : 21299847
 Amount of Each Receipt this Period
 1000.00
 Contribution

B. Alfred D Vallano
 Full Name (Last, First, Middle Initial)
 Mailing Address 334 Buffalo Ridge Road
 City McMurray State PA Zip Code 15317-6610
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Hefren-Tillotson, Inc. Occupation First Vice President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 04 / 2013
Transaction ID : 21299848
 Amount of Each Receipt this Period
 500.00
 Contribution

C. Ms. Michelle Church
 Full Name (Last, First, Middle Initial)
 Mailing Address 4821 West Boulevard
 City Naples State FL Zip Code 34103-3047
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation Senior Vice President/Investments
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 04 / 2013
Transaction ID : 21299851
 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: (check only one)	PAGE 10 OF 45
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

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

Full Name (Last, First, Middle Initial) A. Mr. Frederick T. Greene		Date of Receipt M M / D D / Y Y Y Y Y 12 / 04 / 2013 Transaction ID : 21299852
Mailing Address 43 Biscay Place		Amount of Each Receipt this Period 250.00
City The Woodlands	State TX	Zip Code 77381-6102
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Raymond James Financial, Inc.	Occupation Sr. VP	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

Full Name (Last, First, Middle Initial) B. Mr. Mark Saran		Date of Receipt M M / D D / Y Y Y Y Y 12 / 04 / 2013 Transaction ID : 21299854
Mailing Address 1190 Mount Vernon		Amount of Each Receipt this Period 250.00
City Lake Forest	State IL	Zip Code 60045-3876
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Raymond James Financial, Inc.	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	

Full Name (Last, First, Middle Initial) C. Mr. Dean E. Wooden		Date of Receipt M M / D D / Y Y Y Y Y 12 / 04 / 2013 Transaction ID : 21299857
Mailing Address 101 Meadowbrook Dr.		Amount of Each Receipt this Period 250.00
City Sikeston	State MO	Zip Code 63801-4809
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Raymond James Financial, Inc.	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).....▶	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 OF 45
(check only one)
 11a 11b 11c 12
 13 14 15 16 17

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

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

Full Name (Last, First, Middle Initial)
A. Patrick McFawn

Mailing Address 718 Fieldstone

City State Zip Code
 Rochester Hills MI 48309-1634

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

Name of Employer Occupation
 Raymond James Financial, Inc. Financial Advisor

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
 500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 04 / 2013
Transaction ID : 21299858

Amount of Each Receipt this Period
 500.00

Contribution

Full Name (Last, First, Middle Initial)
B. Mr. Herb Ormond

Mailing Address 3907 Cantata Drive

City State Zip Code
 Greenville NC 27858-6066

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

Name of Employer Occupation
 Raymond James Financial, Inc. Branch Manager

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
 500.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 04 / 2013
Transaction ID : 21299859

Amount of Each Receipt this Period
 500.00

Contribution

Full Name (Last, First, Middle Initial)
C. Ms. Susanna Robinson

Mailing Address 404 Widdington Lane

City State Zip Code
 Cary NC 27519-6699

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

Name of Employer Occupation
 Raymond James Financial, Inc. Certified Financial Planner

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
 250.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 04 / 2013
Transaction ID : 21299860

Amount of Each Receipt this Period
 250.00

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: (check only one)	PAGE 12 OF 45
	<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. Mr. Lawrence D. Bashe
Full Name (Last, First, Middle Initial)

Mailing Address 933 Cedarbrook Road

City Plainfield State NJ Zip Code 07060-2646

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

Name of Employer Raymond James Financial, Inc. Occupation Managing Director

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 500.00

Date of Receipt 12 / 04 / 2013
Transaction ID : 21299861

Amount of Each Receipt this Period 250.00

Contribution

B. Mr. Daniel E. Butler
Full Name (Last, First, Middle Initial)

Mailing Address 900 Foulk Road Suite 201

City Wilmington State DE Zip Code 19803-3155

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

Name of Employer Raymond James Financial, Inc. Occupation Branch Manager

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 12 / 04 / 2013
Transaction ID : 21299862

Amount of Each Receipt this Period 250.00

Contribution

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

Mailing Address 880 Carillon Parkway

City Saint Petersburg State FL Zip Code 33716-1102

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

Name of Employer Raymond James Financial, Inc. Occupation Chief Executive Officer

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 2500.00

Date of Receipt 12 / 04 / 2013
Transaction ID : 21299864

Amount of Each Receipt this Period 2500.00

Contribution

SUBTOTAL of Receipts This Page (optional).....▶ 3000.00

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 13 OF 45
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

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

A. Mr. Richard W. Basler
 Full Name (Last, First, Middle Initial)
 Mailing Address 2201 Mastodon Court
 City Imperial State MO Zip Code 63052-1486
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation CFP
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **500.00**

Date of Receipt **12 / 04 / 2013**
Transaction ID : 21299866
 Amount of Each Receipt this Period **250.00**
 Contribution

B. Craig R McRoberts
 Full Name (Last, First, Middle Initial)
 Mailing Address 117 Country Brook Drive
 City Venetia State PA Zip Code 15367-1051
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Hefren-Tillotson, Inc. Occupation Executive Vice President
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **500.00**

Date of Receipt **12 / 04 / 2013**
Transaction ID : 21299867
 Amount of Each Receipt this Period **500.00**
 Contribution

C. Mr. Curt Bradbury
 Full Name (Last, First, Middle Initial)
 Mailing Address 4 Edgehill Road
 City Little Rock State AR Zip Code 72207-5444
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Stephens Inc. Occupation Chief Operating Officer
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **5000.00**

Date of Receipt **12 / 06 / 2013**
Transaction ID : 21301195
 Amount of Each Receipt this Period **5000.00**
 Contribution

SUBTOTAL of Receipts This Page (optional).....	5750.00
TOTAL This Period (last page this line number only).....	

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

Use separate schedule(s) for each category of the Detailed Summary Page		FOR LINE NUMBER: (check only one)	PAGE 14 OF 45
<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

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

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

Full Name (Last, First, Middle Initial) A. Thomas M. Walrond		Date of Receipt 12 / 10 / 2013 Transaction ID : 21302066
Mailing Address 416 Vernon Road		Amount of Each Receipt this Period 250.00
City Jenkintown	State PA	Zip Code 19046-2844
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Raymond James Financial, Inc.	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	

Full Name (Last, First, Middle Initial) B. Mr. Evan Whittle		Date of Receipt 12 / 10 / 2013 Transaction ID : 21303741
Mailing Address 1300 Brightwaters Blvd.		Amount of Each Receipt this Period 500.00
City Saint Petersburg	State FL	Zip Code 33704-3808
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Raymond James Financial, Inc.	Occupation Complex Manager	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

Full Name (Last, First, Middle Initial) C. Frank John Keogh III		Date of Receipt 12 / 10 / 2013 Transaction ID : 21303765
Mailing Address 187 Earl Court		Amount of Each Receipt this Period 250.00
City Grosse Pointe Farms	State MI	Zip Code 48236-3013
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Raymond James Financial Services, Inc.	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).....▶	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 15 OF 45
<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. Stephen F Fricke
Full Name (Last, First, Middle Initial)
Mailing Address 719 Bear Creek Circle
City Winter Springs State FL Zip Code 32708-3891
FEC ID number of contributing federal political committee. **C**
Name of Employer Raymond James Financial, Inc. Occupation Complex Branch Manager
Receipt For: Primary General Other (specify) ▼
Aggregate Year-to-Date ▼ 250.00

Date of Receipt 12 / 10 / 2013
Transaction ID : 21303769
Amount of Each Receipt this Period 250.00
Contribution

B. Trudy Albinger-Bixby
Full Name (Last, First, Middle Initial)
Mailing Address 4820 15th Avenue N.
City Saint Petersburg State FL Zip Code 33713-5127
FEC ID number of contributing federal political committee. **C**
Name of Employer Raymond James Financial, Inc. Occupation SVP, Operations
Receipt For: Primary General Other (specify) ▼
Aggregate Year-to-Date ▼ 250.00

Date of Receipt 12 / 10 / 2013
Transaction ID : 21303770
Amount of Each Receipt this Period 250.00
Contribution

C. Andrew Zolper
Full Name (Last, First, Middle Initial)
Mailing Address 1600 Beach Dr. NE
City Saint Petersburg State FL Zip Code 33704-4818
FEC ID number of contributing federal political committee. **C**
Name of Employer Raymond James Financial, Inc. Occupation Sr. VP
Receipt For: Primary General Other (specify) ▼
Aggregate Year-to-Date ▼ 500.00

Date of Receipt 12 / 10 / 2013
Transaction ID : 21303774
Amount of Each Receipt this Period 500.00
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 16 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
		<input type="checkbox"/> 15
		<input type="checkbox"/> 16
		<input type="checkbox"/> 17

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

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

A. Ms. Alyssa Meyer
Full Name (Last, First, Middle Initial)

Mailing Address 9558 Portside Drive

City Seminole State FL Zip Code 33776-1115

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

Name of Employer Raymond James Financial, Inc. Occupation Associate Compliance Director

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 12 / 10 / 2013
Transaction ID : 21303776

Amount of Each Receipt this Period 250.00

Contribution

B. Mr. Daniel J. Kraus
Full Name (Last, First, Middle Initial)

Mailing Address 135 Mystic Lane

City Jupiter State FL Zip Code 33458-3316

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

Name of Employer Raymond James Financial, Inc. Occupation Sr. VP

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 12 / 10 / 2013
Transaction ID : 21303777

Amount of Each Receipt this Period 250.00

Contribution

C. Mr. Joseph Palena
Full Name (Last, First, Middle Initial)

Mailing Address 6009 NE 175th Cir.

City Vancouver State WA Zip Code 98686-1775

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

Name of Employer Raymond James Financial, Inc. Occupation Financial Advisor

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt 12 / 10 / 2013
Transaction ID : 21303782

Amount of Each Receipt this Period 1000.00

Contribution

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

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 17 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

Full Name (Last, First, Middle Initial) A. Mr. Christopher R. Butler			Date of Receipt 12 / 10 / 2013 Transaction ID : 21303784
Mailing Address 12254 91st Way			Amount of Each Receipt this Period 500.00
City Largo	State FL	Zip Code 33773-2600	
FEC ID number of contributing federal political committee. C		Contribution	
Name of Employer Raymond James Financial, Inc.	Occupation Vice President	Aggregate Year-to-Date 500.00	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼			

Full Name (Last, First, Middle Initial) B. Mr. James B. Kruzan			Date of Receipt 12 / 11 / 2013 Transaction ID : 21304302
Mailing Address P.O. Box 1071			Amount of Each Receipt this Period 500.00
City Fenton	State MI	Zip Code 48430-5071	
FEC ID number of contributing federal political committee. C		Contribution	
Name of Employer Raymond James	Occupation Certified Financial Planner	Aggregate Year-to-Date 750.00	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼			

Full Name (Last, First, Middle Initial) C. Mr. David William Sisemore			Date of Receipt 12 / 11 / 2013 Transaction ID : 21304325
Mailing Address 275 Bayshore Blvd, #1608			Amount of Each Receipt this Period 1000.00
City Tampa	State FL	Zip Code 33606-2340	
FEC ID number of contributing federal political committee. C		Contribution	
Name of Employer Raymond James Financial, Inc.	Occupation Regional Director	Aggregate Year-to-Date 1000.00	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼			

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: (check only one)	PAGE 18 OF 45
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

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

A. Mr. Mark G Thompson
 Full Name (Last, First, Middle Initial)
 Mailing Address 3155 Hilliard Court
 City Melbourne State FL Zip Code 32934-8316
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation Senior Vice President CFP
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **500.00**

Date of Receipt **12 / 11 / 2013**
Transaction ID : 21304326
 Amount of Each Receipt this Period **500.00**
 Contribution

B. Mr. Patrick O'Connor
 Full Name (Last, First, Middle Initial)
 Mailing Address 3205 W. Harbor View Avenue
 City Tampa State FL Zip Code 33611-1920
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation Senior Vice President
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **750.00**

Date of Receipt **12 / 11 / 2013**
Transaction ID : 21304329
 Amount of Each Receipt this Period **500.00**
 Contribution

C. W.W. Deupree
 Full Name (Last, First, Middle Initial)
 Mailing Address 505 Goodwyn St.
 City Memphis State TN Zip Code 38111-2308
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial Services, Inc. Occupation Managing Director
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **250.00**

Date of Receipt **12 / 11 / 2013**
Transaction ID : 21304330
 Amount of Each Receipt this Period **250.00**
 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: (check only one)	PAGE 19 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. William A Geary
Full Name (Last, First, Middle Initial)
Mailing Address 4715 Calnita Pl
City Jackson State MS Zip Code 39211-5804
FEC ID number of contributing federal political committee. **C**
Name of Employer Raymond James Financial, Inc. Occupation Sr. VP
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **500.00**

Date of Receipt **12 / 11 / 2013**
Transaction ID : 21304331
Amount of Each Receipt this Period **500.00**
Contribution

B. Ms. Kalita Beck Blessing
Full Name (Last, First, Middle Initial)
Mailing Address 5600 W. Lovers Lane
City Dallas State TX Zip Code 75209-2409
FEC ID number of contributing federal political committee. **C**
Name of Employer Quest Capital Management Occupation Financial Advisor
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **1000.00**

Date of Receipt **12 / 11 / 2013**
Transaction ID : 21304346
Amount of Each Receipt this Period **1000.00**
Contribution

C. Mr. Norm Parton
Full Name (Last, First, Middle Initial)
Mailing Address 11 Madison Avenue 5th Floor
City New York State NY Zip Code 10010-3643
FEC ID number of contributing federal political committee. **C**
Name of Employer Credit Suisse (USA), Inc Occupation COO, Fixed Income
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **500.00**

Date of Receipt **12 / 12 / 2013**
Transaction ID : 21305987
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: (check only one)	PAGE 20 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. John J Thurlow
Full Name (Last, First, Middle Initial)

Mailing Address 233 Steilen Avenue

City State Zip Code
Ridgewood NJ 07450-2821

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

Name of Employer Occupation
Credit Suisse (USA), Inc Financial Advisor

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
500.00

Date of Receipt
M M M / D D D / Y Y Y Y Y Y
12 / 12 / 2013
Transaction ID : 21305989

Amount of Each Receipt this Period
500.00

Contribution

B. Steven H Garnett
Full Name (Last, First, Middle Initial)

Mailing Address 20 Intervale Place

City State Zip Code
Rye NY 10580-3513

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

Name of Employer Occupation
Credit Suisse (USA), Inc Financial Advisor

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
M M M / D D D / Y Y Y Y Y Y
12 / 12 / 2013
Transaction ID : 21305991

Amount of Each Receipt this Period
1000.00

Contribution

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

Mailing Address 30 Shipway Road

City State Zip Code
Darien CT 06820-5733

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

Name of Employer Occupation
Credit Suisse (USA), Inc Financial Advisor

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
M M M / D D D / Y Y Y Y Y Y
12 / 12 / 2013
Transaction ID : 21305994

Amount of Each Receipt this Period
1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ▶ 2500.00

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 21 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. Sacha Millstone
Full Name (Last, First, Middle Initial)
Mailing Address 1521 48th Street
City Boulder State CO Zip Code 80303-1143
FEC ID number of contributing federal political committee. **C**
Name of Employer Raymond James Financial Services, Inc. Occupation Senior VP of Investments
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **500.00**

Date of Receipt **12 / 12 / 2013**
Transaction ID : 21306079
Amount of Each Receipt this Period **500.00**
Contribution

B. Scott Stolz
Full Name (Last, First, Middle Initial)
Mailing Address 2809 Roehampton Close
City Tarpon Springs State FL Zip Code 34688-8426
FEC ID number of contributing federal political committee. **C**
Name of Employer Raymond James Insurance Group Occupation President
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **750.00**

Date of Receipt **12 / 16 / 2013**
Transaction ID : 21312352
Amount of Each Receipt this Period **750.00**
Contribution

C. Mr. Steven F. Kennedy
Full Name (Last, First, Middle Initial)
Mailing Address 104 Penn Drive
City Williamsburg State VA Zip Code 23188-1888
FEC ID number of contributing federal political committee. **C**
Name of Employer Raymond James Financial, Inc. Occupation Vice President
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **250.00**

Date of Receipt **12 / 16 / 2013**
Transaction ID : 21313407
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: (check only one)	PAGE 22 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

Full Name (Last, First, Middle Initial)
A. Norman L. Eaker

Mailing Address 20 Country Club Woods

City State Zip Code
Saint Charles MO 63303-3300

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

Name of Employer Occupation
Edward Jones General Partner

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
5000.00

Date of Receipt
M M / D D / Y Y Y Y Y
12 / 18 / 2013
Transaction ID : 21318225

Amount of Each Receipt this Period
5000.00

Contribution

Full Name (Last, First, Middle Initial)
B. Mr. Edward G. Sella

Mailing Address 9515 W. Stanhope Road

City State Zip Code
Kensington MD 20895-3524

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

Name of Employer Occupation
SPC Financial Inc. Registered Principal

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
M M / D D / Y Y Y Y Y
12 / 18 / 2013
Transaction ID : 21318226

Amount of Each Receipt this Period
1000.00

Contribution

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

Mailing Address 1101 New York Avenue, NW
8th FL

City State Zip Code
Washington DC 20005-4269

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

Name of Employer Occupation
Securities Industry and Financial Mark Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
M M / D D / Y Y Y Y Y
12 / 18 / 2013
Transaction ID : 21318235

Amount of Each Receipt this Period
1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ▶ 7000.00

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 23 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

Full Name (Last, First, Middle Initial) A. Mr. James Weddle		Date of Receipt M M M / D D D / Y Y Y Y Y Y 12 / 19 / 2013 Transaction ID : 21319019
Mailing Address 121 Plant Avenue		Amount of Each Receipt this Period 5000.00
City Webster Groves	State MO	Zip Code 63119-3046
FEC ID number of contributing federal political committee. C	Contribution	
Name of Employer Edward Jones	Occupation Managing Partner	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	

Full Name (Last, First, Middle Initial) B. Joseph M Niesslein		Date of Receipt M M M / D D D / Y Y Y Y Y Y 12 / 23 / 2013 Transaction ID : 21321522
Mailing Address 206 Westminster Drive		Amount of Each Receipt this Period 250.00
City Moon Twp	State PA	Zip Code 15108-1065
FEC ID number of contributing federal political committee. C	Contribution	
Name of Employer Hefren-Tillotson, Inc.	Occupation CFO	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

Full Name (Last, First, Middle Initial) C. Theodore Willer		Date of Receipt M M M / D D D / Y Y Y Y Y Y 12 / 23 / 2013 Transaction ID : 21321524
Mailing Address 4342 S County Road 300 E		Amount of Each Receipt this Period 500.00
City Greencastle	State IN	Zip Code 46135
FEC ID number of contributing federal political committee. C	Contribution	
Name of Employer Raymond James Financial Services, Inc.	Occupation Senior VP of 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).....▶	5750.00
TOTAL This Period (last page this line number only).....▶	

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

Use separate schedule(s) for each category of the Detailed Summary Page		FOR LINE NUMBER: (check only one)	PAGE 24 OF 45
<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. Ronald L. Thatcher
Full Name (Last, First, Middle Initial)

Mailing Address 5855 Impala Trail

City Santa Maria State CA Zip Code 93455-6040

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

Name of Employer Raymond James Financial Services, Inc. Occupation Branch Manager

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 400.00

Date of Receipt 12 / 23 / 2013
Transaction ID : 21321525

Amount of Each Receipt this Period 250.00

Contribution

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

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 Chief Financial Officer

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt 12 / 23 / 2013
Transaction ID : 21321533

Amount of Each Receipt this Period 1000.00

Contribution

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

Mailing Address 4301 Stewart Ellison Wynd

City Raleigh State NC Zip Code 27612-5338

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

Name of Employer Raymond James Financial Services, Inc. Occupation Branch Manager

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼ 750.00

Date of Receipt 12 / 23 / 2013
Transaction ID : 21321535

Amount of Each Receipt this Period 500.00

Contribution

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 25 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. Mr. William F. Burke Jr.
 Full Name (Last, First, Middle Initial)
 Mailing Address P.O. Box 390
 City Brookside State NJ Zip Code 07926-0390
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation Registered Principal
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **250.00**

Date of Receipt **12 / 31 / 2013**
Transaction ID : 21327318
 Amount of Each Receipt this Period **250.00**
 Contribution

B. Mr. Bryan J. Sweet
 Full Name (Last, First, Middle Initial)
 Mailing Address 223 Sylvan Drive
 City Fairmont State MN Zip Code 56031-2421
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation Financial Advisor
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **350.00**

Date of Receipt **12 / 31 / 2013**
Transaction ID : 21327323
 Amount of Each Receipt this Period **100.00**
 Contribution

C. Jose Fernandez
 Full Name (Last, First, Middle Initial)
 Mailing Address 13600 Timberlake Court
 City Midlothian State VA Zip Code 23114-3324
 FEC ID number of contributing federal political committee. **C**
 Name of Employer BB & T Capital Markets Occupation Regulatory Manager
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **250.00**

Date of Receipt **12 / 31 / 2013**
Transaction ID : 21327351
 Amount of Each Receipt this Period **250.00**
 Contribution

SUBTOTAL of Receipts This Page (optional)..... **600.00**
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 26 OF 45
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

<input type="checkbox"/> 12	<input type="checkbox"/> 16	<input type="checkbox"/> 17
-----------------------------	-----------------------------	-----------------------------

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

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

A. Mr. William C. Van Law III
 Full Name (Last, First, Middle Initial)
 Mailing Address 4600 Waterford Court NE
 City Saint Petersburg State FL Zip Code 33703-4948
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Raymond James Financial, Inc. Occupation National Director of Business Developm
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 500.00

Date of Receipt 12 / 31 / 2013
Transaction ID : 21327352
 Amount of Each Receipt this Period 500.00
 Contribution

B. Mr. Kenneth E. Bentsen Jr.
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 4808.75

Date of Receipt 12 / 11 / 2013
Transaction ID : 21339972
 Amount of Each Receipt this Period 192.35

C. Ms. Lisa Bleier
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 480.75

Date of Receipt 12 / 11 / 2013
Transaction ID : 21339973
 Amount of Each Receipt this Period 19.23

SUBTOTAL of Receipts This Page (optional).....▶	711.58
TOTAL This Period (last page this line number only).....▶	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 27 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
		<input type="checkbox"/> 15
		<input type="checkbox"/> 16
		<input type="checkbox"/> 17

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

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

A. Ms. Kyle Brandon
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

Name of Employer Securities Industry and Financial Mark Occupation Managing Director, DOR

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
2403.75

Date of Receipt
12 / 11 / 2013
Transaction ID : 21339974

Amount of Each Receipt this Period
96.15

B. Ms Kim Chamberlain
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

Name of Employer Securities Industry and Financial Mark Occupation Managing Director & Counsel, State Gov

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
962.50

Date of Receipt
12 / 11 / 2013
Transaction ID : 21339975

Amount of Each Receipt this Period
38.50

C. Mr Salvatore Chiarelli
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

Name of Employer Securities Industry and Financial Mark Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
307.68

Date of Receipt
12 / 11 / 2013
Transaction ID : 21339976

Amount of Each Receipt this Period
19.23

SUBTOTAL of Receipts This Page (optional)..... ▶ 153.88

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 28 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. David L Cohen
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

Name of Employer Securities Industry and Financial Mark Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ **808.50**

Date of Receipt
12 / 11 / 2013

Transaction ID : 21339977

Amount of Each Receipt this Period
38.50

B. Ms. Cheryl Crispen
Full Name (Last, First, Middle Initial)

Mailing Address 1101 New York Ave, NW

City Washington State DC Zip Code 20005-4213

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

Name of Employer Securities Industry and Financial Mark Occupation Executive Vice President, Communicatio

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ **2403.75**

Date of Receipt
12 / 11 / 2013

Transaction ID : 21339978

Amount of Each Receipt this Period
96.15

C. Ms. Bradley Gaskins Edgell
Full Name (Last, First, Middle Initial)

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

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

Name of Employer Securities Industry and Financial Mark Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ **962.50**

Date of Receipt
12 / 11 / 2013

Transaction ID : 21339979

Amount of Each Receipt this Period
38.50

SUBTOTAL of Receipts This Page (optional)..... **173.15**

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 29 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
		<input type="checkbox"/> 15
		<input type="checkbox"/> 16
		<input type="checkbox"/> 17

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

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

A. Tracy Eichler
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

Name of Employer Securities Industry and Financial Mark Occupation Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
480.75

Date of Receipt
12 / 11 / 2013
Transaction ID : 21339980

Amount of Each Receipt this Period
19.23

B. Ms. Lisa Fues
Full Name (Last, First, Middle Initial)

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

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

Name of Employer Securities Industry and Financial Mark Occupation Vice President

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
480.75

Date of Receipt
12 / 11 / 2013
Transaction ID : 21339981

Amount of Each Receipt this Period
19.23

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

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1750.00

Date of Receipt
12 / 11 / 2013
Transaction ID : 21339982

Amount of Each Receipt this Period
70.00

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

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 30 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

Full Name (Last, First, Middle Initial) A. Mr. Carter McDowell		Date of Receipt M M / D D / Y Y Y Y Y 12 / 11 / 2013 Transaction ID : 21339983
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 288.46
City Washington	State DC	Zip Code 20005-4269
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Senior Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 4711.60	

Full Name (Last, First, Middle Initial) B. Mr. Kenneth E. Bentsen Jr.		Date of Receipt M M / D D / Y Y Y Y Y 12 / 24 / 2013 Transaction ID : 21340001
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 191.25
City Washington	State DC	Zip Code 20005-4269
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	

Full Name (Last, First, Middle Initial) C. Ms. Lisa Bleier		Date of Receipt M M / D D / Y Y Y Y Y 12 / 24 / 2013 Transaction ID : 21340002
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 19.23
City Washington	State DC	Zip Code 20005-4269
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 499.98	

SUBTOTAL of Receipts This Page (optional).....▶	498.94
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 31 OF 45
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

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

A. Ms. Kyle Brandon
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director, DOR
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **2499.90**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 24 / 2013
Transaction ID : 21340003
 Amount of Each Receipt this Period
96.15

B. Ms Kim Chamberlain
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director & Counsel, State Gov
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1000.00**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 24 / 2013
Transaction ID : 21340004
 Amount of Each Receipt this Period
37.50

C. Mr Salvatore Chiarelli
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **326.91**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 24 / 2013
Transaction ID : 21340005
 Amount of Each Receipt this Period
19.23

SUBTOTAL of Receipts This Page (optional).....	152.88
TOTAL This Period (last page this line number only).....	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 32 OF 45
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

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

A. David L Cohen
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) Aggregate Year-to-Date **847.00**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 24 / 2013
Transaction ID : 21340006
 Amount of Each Receipt this Period
38.50

B. Ms. Cheryl Crispen
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 City Washington State DC Zip Code 20005-4213
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Executive Vice President, Communicatio
 Receipt For: Primary General Other (specify) Aggregate Year-to-Date **2499.90**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 24 / 2013
Transaction ID : 21340007
 Amount of Each Receipt this Period
96.15

C. Ms. Bradley Gaskins Edgell
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) Aggregate Year-to-Date **1000.00**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 12 / 24 / 2013
Transaction ID : 21340008
 Amount of Each Receipt this Period
37.50

SUBTOTAL of Receipts This Page (optional).....▶	172.15
TOTAL This Period (last page this line number only).....▶	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 33 OF 45
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

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

A. Tracy Eichler
Full Name (Last, First, Middle Initial)

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

Name of Employer Securities Industry and Financial Mark Occupation Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
499.98

Date of Receipt
12 / 24 / 2013
Transaction ID : 21340009

Amount of Each Receipt this Period
19.23

B. Ms. Lisa Fues
Full Name (Last, First, Middle Initial)

Mailing Address 1101 New York Ave, NW
8th Floor

City Washington State DC Zip Code 20005-4269

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

Name of Employer Securities Industry and Financial Mark Occupation Vice President

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
499.98

Date of Receipt
12 / 24 / 2013
Transaction ID : 21340010

Amount of Each Receipt this Period
19.23

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

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1820.00

Date of Receipt
12 / 24 / 2013
Transaction ID : 21340011

Amount of Each Receipt this Period
70.00

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

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

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

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

FOR LINE NUMBER: PAGE 34 OF 45
(check only one)
 11a 11b 11c 12
 13 14 15 16 17

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

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

A. Mr. Carter McDowell
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Securities Industry and Financial Mark Occupation Senior Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 5000.00

Date of Receipt
 M M / D D / Y Y Y Y Y
 12 / 24 / 2013
Transaction ID : 21340012
 Amount of Each Receipt this Period
 288.40

B. Peter J deGroot
 Full Name (Last, First, Middle Initial)
 Mailing Address 4007 College Valley Court
 City Richmond State VA Zip Code 23233-7674
 FEC ID number of contributing federal political committee. **C**
 Name of Employer BB & T Capital Markets Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 250.00

Date of Receipt
 M M / D D / Y Y Y Y Y
 12 / 03 / 2013
Transaction ID : 21522356
 Amount of Each Receipt this Period
 250.00
 Contribution

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

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

SUBTOTAL of Receipts This Page (optional).....▶	538.40
TOTAL This Period (last page this line number only).....▶	46167.90

**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 35 OF 45
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input checked="" type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

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

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

Full Name (Last, First, Middle Initial) A. The Charles Schwab Corporation PAC		Date of Receipt
Mailing Address 101 Montgomery Street		<input type="text" value="12"/> / <input type="text" value="06"/> / <input type="text" value="2013"/>
City State Zip Code San Francisco CA 94101		Transaction ID : 21301196
FEC ID number of contributing federal political committee. <input type="text" value="C"/> <input type="text" value="C00370114"/>		Amount of Each Receipt this Period <input type="text" value="5000.00"/>
Name of Employer	Occupation	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <input type="text" value="5000.00"/>	

Full Name (Last, First, Middle Initial) B. UBS Americas Fund for Better Government		Date of Receipt
Mailing Address 1285 Avenue of the Americas 14th Floor		<input type="text" value="12"/> / <input type="text" value="11"/> / <input type="text" value="2013"/>
City State Zip Code New York NY 10019		Transaction ID : 21304321
FEC ID number of contributing federal political committee. <input type="text" value="C"/> <input type="text" value="C00012245"/>		Amount of Each Receipt this Period <input type="text" value="5000.00"/>
Name of Employer	Occupation	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <input type="text" value="5000.00"/>	

Full Name (Last, First, Middle Initial) C. The Bank of New York Mellon Political Action Committee		Date of Receipt
Mailing Address One Mellon Bank Center		<input type="text" value="12"/> / <input type="text" value="12"/> / <input type="text" value="2013"/>
City State Zip Code Pittsburgh PA 15258		Transaction ID : 21306057
FEC ID number of contributing federal political committee. <input type="text" value="C"/> <input type="text" value="C00017558"/>		Amount of Each Receipt this Period <input type="text" value="5000.00"/>
Name of Employer	Occupation	Contribution
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <input type="text" value="5000.00"/>	

SUBTOTAL of Receipts This Page (optional).....▶	<input type="text" value="15000.00"/>
TOTAL This Period (last page this line number only).....▶	<input type="text" value="15000.00"/>

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

Use separate schedule(s) for each category of the Detailed Summary Page		FOR LINE NUMBER: (check only one)	PAGE 36 OF 45
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input checked="" type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
			<input type="checkbox"/> 17

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

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

Full Name (Last, First, Middle Initial) A. Securities Industry and Financial Markets Association		Date of Receipt
Mailing Address 120 Broadway Floor 35		<input type="text" value="12"/> / <input type="text" value="02"/> / <input type="text" value="2013"/>
City New York	State NY	Zip Code 10271
FEC ID number of contributing federal political committee. <input type="text" value="C"/>		Transaction ID : 21295781
Name of Employer		Amount of Each Receipt this Period
Occupation		<input type="text" value="736.99"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <input type="text" value="1953.25"/>	Reimbursement of Bank Fees

Full Name (Last, First, Middle Initial) B. Securities Industry and Financial Markets Association		Date of Receipt
Mailing Address 120 Broadway Floor 35		<input type="text" value="12"/> / <input type="text" value="31"/> / <input type="text" value="2013"/>
City New York	State NY	Zip Code 10271
FEC ID number of contributing federal political committee. <input type="text" value="C"/>		Transaction ID : 21328540
Name of Employer		Amount of Each Receipt this Period
Occupation		<input type="text" value="648.07"/>
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <input type="text" value="2601.32"/>	Reimbursement of Bank Fees

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

SUBTOTAL of Receipts This Page (optional).....▶	<input type="text" value="1385.06"/>
TOTAL This Period (last page this line number only).....▶	<input type="text" value="1385.06"/>

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21520472

Amount of Each Disbursement this Period

Credit Card Fees

Full Name (Last, First, Middle Initial)

B. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Bank Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21520473

Amount of Each Disbursement this Period

Bank Fees

Full Name (Last, First, Middle Initial)

C. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 21520474

Amount of Each Disbursement this Period

Credit Card Fees

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

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

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Iowans For Latham

Mailing Address PO Box 8237

City State Zip Code
Des Moines IA 50301

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Thomas P. Latham

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: IA District: 04

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			02			2013			

Transaction ID : 21285240

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. John Carney For Congress

Mailing Address PO Box 2162

City State Zip Code
Wilmington DE 19899

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. John C. Carney Jr.

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: DE District: 00

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			02			2013			

Transaction ID : 21285923

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Kind For Congress Committee

Mailing Address 205 5th Avenue South

City State Zip Code
La Crosse WI 54601

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Ron Kind

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: WI District: 03

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			02			2013			

Transaction ID : 21286177

Amount of Each Disbursement this Period

1000.00

Contribution

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

3000.00

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

--

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends for Gregory Meeks

Mailing Address 219-10 South Conduit Avenue

City Springfield Garden State NY Zip Code 11413

Purpose of Disbursement
Contribution

011

Candidate Name

Rep Gregory W. Meeks

Category/
Type

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

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			02			2013			

Transaction ID : 21286711

Amount of Each Disbursement this Period

1500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Lynn Jenkins For Congress

Mailing Address PO Box 1441

City Topeka State KS Zip Code 66601

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Lynn Jenkins

Category/
Type

Office Sought: House
 Senate
 President
State: KS District: 02

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			02			2013			

Transaction ID : 21286870

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Friends Of Bill Posey

Mailing Address P. O. Box 360877

City Melbourne State FL Zip Code 32936

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Bill Posey

Category/
Type

Office Sought: House
 Senate
 President
State: FL District: 15

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			02			2013			

Transaction ID : 21287192

Amount of Each Disbursement this Period

1000.00

Contribution

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

3500.00

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

--

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Steve Fincher For Congress

Mailing Address PO Box 11153

City Jackson State TN Zip Code 38308

Purpose of Disbursement
Contribution

Candidate Name

Rep. Stephen Lee Fincher

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

Disbursement For: 2014
 Primary General
 Other (specify) ▼

011
Category/
Type

Date of Disbursement

MM / DD / YYYY
12 / 02 / 2013

Transaction ID : 21287712

Amount of Each Disbursement this Period

1500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Mchenry For Congress

Mailing Address PO Box 1406

City Hickory State NC Zip Code 28603

Purpose of Disbursement
Contribution

Candidate Name

Rep. Patrick Timothy McHenry

Office Sought: House
 Senate
 President
State: NC District: 10

Disbursement For: 2014
 Primary General
 Other (specify) ▼

011
Category/
Type

Date of Disbursement

MM / DD / YYYY
12 / 02 / 2013

Transaction ID : 21288129

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Stivers For Congress

Mailing Address 4679 Winterset Drive

City Columbus State OH Zip Code 43220

Purpose of Disbursement
Contribution

Candidate Name

Rep. Steve Stivers

Office Sought: House
 Senate
 President
State: OH District: 15

Disbursement For: 2014
 Primary General
 Other (specify) ▼

011
Category/
Type

Date of Disbursement

MM / DD / YYYY
12 / 02 / 2013

Transaction ID : 21288883

Amount of Each Disbursement this Period

1000.00

Contribution

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

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

3500.00

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends Of Pete Gallego

Mailing Address PO Box 1781

City San Antonio State TX Zip Code 78296

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Pete Gallego

Category/
Type

Office Sought: House
 Senate
 President
State: TX District: 23

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			03			2013			

Transaction ID : 21299368

Amount of Each Disbursement this Period

500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Alex Sink For Congress

Mailing Address PO Box 17271

City Clearwater State FL Zip Code 33762

Purpose of Disbursement
Contribution

011

Candidate Name

Alex Sink

Category/
Type

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

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			11			2013			

Transaction ID : 21304583

Amount of Each Disbursement this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Perlmutter For Congress

Mailing Address 3440 Youngfield Street
#264

City Wheat Ridge State CO Zip Code 80033

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Edwin Perlmutter

Category/
Type

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

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			19			2013			

Transaction ID : 21319310

Amount of Each Disbursement this Period

2500.00

Contribution

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

5500.00

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

--

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Sherman For Congress

Mailing Address 777 S. Figueroa St., Ste. 4050

City Los Angeles State CA Zip Code 90017

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Brad Sherman

Category/Type

Office Sought: House Senate President

Disbursement For: 2014 Primary General Other (specify) ▼

State: CA District: 27

Date of Disbursement

MM / DD / YYYY
12 / 19 / 2013

Transaction ID : 21319311

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Friends Of Mary Landrieu Inc

Mailing Address 700 13th Street Nw Suite 600

City Washington State DC Zip Code 20005

Purpose of Disbursement Contribution

011

Candidate Name

Sen. Mary L. Landrieu

Category/Type

Office Sought: House Senate President

Disbursement For: 2014 Primary General Other (specify) ▼

State: LA District:

Date of Disbursement

MM / DD / YYYY
12 / 19 / 2013

Transaction ID : 21319312

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Denny Heck For Congress

Mailing Address PO Box 235

City Olympia State WA Zip Code 98507

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Denny Heck

Category/Type

Office Sought: House Senate President

Disbursement For: 2014 Primary General Other (specify) ▼

State: WA District: 10

Date of Disbursement

MM / DD / YYYY
12 / 19 / 2013

Transaction ID : 21319313

Amount of Each Disbursement this Period

1000.00

Contribution

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

3000.00

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

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Conaway For Congress

Mailing Address PO Box 51272

City Midland State TX Zip Code 79710

Purpose of Disbursement
Voided 5/23/2011 Disbursement

011

Candidate Name

Rep. Michael K. Conaway

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: TX District: 11

Date of Disbursement

MM / DD / YYYY
12 / 31 / 2013

Transaction ID : 21532460

Amount of Each Disbursement this Period

-1000.00

Voided 5/23/2011 Disbursement

Full Name (Last, First, Middle Initial)

B. Friends Of Erik Paulsen

Mailing Address P.O. Box 44369
250 Prairie Center Drive

City Eden Prairie State MN Zip Code 55344

Purpose of Disbursement
Voided 1/20/2012 Disbursement

011

Candidate Name

Rep. Erik P. Paulsen

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: MN District: 03

Date of Disbursement

MM / DD / YYYY
12 / 31 / 2013

Transaction ID : 21532461

Amount of Each Disbursement this Period

-1000.00

Voided 1/20/2012 Disbursement

Full Name (Last, First, Middle Initial)

C. Moore For Congress

Mailing Address PO Box 16646

City Milwaukee State WI Zip Code 53216

Purpose of Disbursement
Voided 5/21/2012 Disbursement

011

Candidate Name

Rep. Gwendolynne Moore

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: WI District: 04

Date of Disbursement

MM / DD / YYYY
12 / 31 / 2013

Transaction ID : 21532462

Amount of Each Disbursement this Period

-1000.00

Voided 5/21/2012 Disbursement

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

-3000.00

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

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Tim Johnson For South Dakota Inc

Mailing Address 102 N Plum

City Vermillion State SD Zip Code 57069

Purpose of Disbursement
Voided 6/13/2012 Disbursement

011

Category/
Type

Candidate Name

Sen Tim Johnson

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: SD District:

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			31			2013			

Transaction ID : 21532463

Amount of Each Disbursement this Period

-1000.00

Voided 6/13/2012 Disbursement

Full Name (Last, First, Middle Initial)

B. David Scott For Congress

Mailing Address P.O. Box 960821

City Riverdale State GA Zip Code 30296

Purpose of Disbursement
Voided 6/21/2012 Disbursement

011

Category/
Type

Candidate Name

Rep. David Albert Scott

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: GA District: 13

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			31			2013			

Transaction ID : 21532464

Amount of Each Disbursement this Period

-1000.00

Voided 6/21/2012 Disbursement

Full Name (Last, First, Middle Initial)

C. Cleaver For Congress

Mailing Address 4801 Main Street, Suite 1000

City Kansas City State MO Zip Code 64112

Purpose of Disbursement
Voided 9/28/2012 Disbursement

011

Category/
Type

Candidate Name

Rep. Emanuel Cleaver II

Office Sought: House
 Senate
 President

Disbursement For: 2012
 Primary General
 Other (specify) ▼

State: MO District: 05

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
12			31			2013			

Transaction ID : 21532465

Amount of Each Disbursement this Period

-1000.00

Voided 9/28/2012 Disbursement

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

-3000.00

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

16000.00
