

FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

Office Use Only

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

ADDRESS (number and street) 1425 K Street, NW
7th Floor
 Check if different than previously reported. (ACC)
Washington DC 20005

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

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

5. Covering Period 08 01 2007 through 08 31 2007

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.
Type or Print Name of Treasurer Richard J. Hunt

Signature of Treasurer Electronically Filed by Richard J. Hunt Date 09 20 2007

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

**SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS**

FEC Form 3X (Rev. 02/2003)

Page 2

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

Report Covering the Period: From:

M	M
0	8

D	D
0	1

Y	Y	Y	Y
2	0	0	7

 To:

M	M
0	8

D	D
3	1

Y	Y	Y	Y
2	0	0	7

	COLUMN A This Period	COLUMN B Calendar Year-to-Date										
6. (a) Cash on Hand January 1 <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr><tr><td>2</td><td>0</td><td>0</td><td>7</td></tr></table>	Y	Y	Y	Y	2	0	0	7	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">0.00</td></tr></table>	0.00	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">0.00</td></tr></table>	0.00
Y	Y	Y	Y									
2	0	0	7									
0.00												
0.00												
(b) Cash on Hand at Beginning of Reporting Period	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">264013.65</td></tr></table>	264013.65										
264013.65												
(c) Total Receipts (from Line 19)	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">33322.04</td></tr></table>	33322.04	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">671162.56</td></tr></table>	671162.56								
33322.04												
671162.56												
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">297335.69</td></tr></table>	297335.69	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">671162.56</td></tr></table>	671162.56								
297335.69												
671162.56												
7. Total Disbursements (from Line 31)	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">1004.60</td></tr></table>	1004.60	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">374831.47</td></tr></table>	374831.47								
1004.60												
374831.47												
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">296331.09</td></tr></table>	296331.09	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">296331.09</td></tr></table>	296331.09								
296331.09												
296331.09												
9. Debts and Obligations owed TO the committee (Itemize all on Schedule C and/or Schedule D)	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">0.00</td></tr></table>	0.00										
0.00												
10. Debts and Obligations owed BY the committee (Itemize all on Schedule C and/or Schedule D)	<table border="1" style="width: 100%;"><tr><td style="text-align: right;">0.00</td></tr></table>	0.00										
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:

M	M
0	8

D	D
0	1

Y	Y	Y	Y
2	0	0	7

 To:

M	M
0	8

D	D
3	1

Y	Y	Y	Y
2	0	0	7

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	30807.04	569806.79
(i) Itemized (use Schedule A)	2515.00	20851.50
(ii) Unitemized	33322.04	590658.29
(iii) TOTAL (add Lines 11(a)(i) and (ii)	0.00	0.00
(b) Political Party Committees	0.00	53000.00
(c) Other Political Committees (such as PACs)	33322.04	643658.29
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)		
12. Transfers From Affiliated/Other Party Committees	0.00	27504.27
13. All Loans Received	0.00	0.00
14. Loan Repayments Received	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5)	0.00	0.00
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 Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	33322.04	671162.56
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	33322.04	671162.56

DETAILED SUMMARY PAGE
of Disbursements

II. DISBURSEMENTS	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Shared Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share.....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures.....	1004.60	2831.47
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b)).....	1004.60	2831.47
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	0.00	372000.00
24. Independent Expenditure (use Schedule E)	0.00	0.00
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c))	0.00	0.00
29. Other Disbursements.....	0.00	0.00
30. Federal Election Activity (2 U.S.C 431(20))		
(a) Shared Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	1004.60	374831.47
32. Total Federal Disbursements (subtract Line 21(a)(ii) from Line 30(a)(ii) from Line 31).....	1004.60	374831.47

DETAILED SUMMARY PAGE
of Disbursements

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)	33322.04	643658.29
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	33322.04	643658.29
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	1004.60	2831.47
37. Offsets to Operating Expenditures (from Line 15, page 3)	0.00	0.00
38. Net Operating Expenditures (subtract Line 37 from Line 36)	1004.60	2831.47

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 6 / 17
	<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. Full Name (Last, First, Middle Initial)
Mrs. Marie L. Mole

Mailing Address 1585 Broadway

City State Zip Code
New York NY 10036

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

Name of Employer Occupation
Morgan Stanley Managing Director

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
MM / DD / YYYY
08 / 02 / 2007

Transaction ID: 14456776

Amount of Each Receipt this Period
1000.00

Contribution

B. Full Name (Last, First, Middle Initial)
Mr. Thomas G. Wipf

Mailing Address 12 Chester

City State Zip Code
Rockaway Point NY 11697

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

Name of Employer Occupation
Morgan Stanley Managing Director

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼
2000.00

Date of Receipt
MM / DD / YYYY
08 / 02 / 2007

Transaction ID: 14456777

Amount of Each Receipt this Period
2000.00

Contribution

C. Full Name (Last, First, Middle Initial)
Mr. Price P. Woodward

Mailing Address 227 Oak Hollow Lane

City State Zip Code
St. Albans MO 63073

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

Name of Employer Occupation
Edward Jones Principal

Receipt For: Primary General Other (specify) ▼

Aggregate Year-to-Date ▼
2500.00

Date of Receipt
MM / DD / YYYY
08 / 01 / 2007

Transaction ID: 14459281

Amount of Each Receipt this Period
2500.00

Contribution

SUBTOTAL of Receipts This Page (optional)	▶	5500.00
TOTAL This Period (last page this line number only)	▶	

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 7 / 17
	<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. Full Name (Last, First, Middle Initial)
Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City State Zip Code
Wyckoff NJ 07481-1141

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
709.43

Date of Receipt
M M / D D / Y Y Y Y Y
08 / 01 / 2007

Transaction ID: 14459493

Amount of Each Receipt this Period
129.43

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

Mailing Address 9750 Oatley Lane

City State Zip Code
Burke VA 22015-4423

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 ▼
1250.00

Date of Receipt
M M / D D / Y Y Y Y Y
08 / 01 / 2007

Transaction ID: 14459494

Amount of Each Receipt this Period
125.00

C. Full Name (Last, First, Middle Initial)
Mr Keith Utsey

Mailing Address 320 Washington Avenue #2C

City State Zip Code
Brooklyn NY 11205-3703

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
312.50

Date of Receipt
M M / D D / Y Y Y Y Y
08 / 01 / 2007

Transaction ID: 14459495

Amount of Each Receipt this Period
31.25

SUBTOTAL of Receipts This Page (optional)	285.68
TOTAL This Period (last page this line number only)	

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 8 / 17
	<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. Joe Blanton		Date of Receipt M M / D D / Y Y Y Y 0 8 / 0 1 / 2 0 0 7
Mailing Address 2373 Wind Gap Place		Transaction ID: 14459586
City State Zip Code Clearwater FL 33765	Amount of Each Receipt this Period 250.00	
FEC ID number of contributing federal political committee. C	Contribution	
Name of Employer Raymond James Financial, Inc. Occupation Vice President	Aggregate Year-to-Date 250.00	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	Contribution	

Full Name (Last, First, Middle Initial) B. Josie Gray Storrs		Date of Receipt M M / D D / Y Y Y Y 0 8 / 0 6 / 2 0 0 7
Mailing Address 2671 Marcey Road		Transaction ID: 14459594
City State Zip Code Arlington VA 22207-5231	Amount of Each Receipt this Period 350.00	
FEC ID number of contributing federal political committee. C	Contribution	
Name of Employer Securities Industry and Financial Mark Occupation Managing Director	Aggregate Year-to-Date 495.00	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	Contribution	

Full Name (Last, First, Middle Initial) C. Mr. Patrick Mortimer		Date of Receipt M M / D D / Y Y Y Y 0 8 / 0 6 / 2 0 0 7
Mailing Address 22 Private Road		Transaction ID: 14459596
City State Zip Code Bayville NY 11709	Amount of Each Receipt this Period 1000.00	
FEC ID number of contributing federal political committee. C	Contribution	
Name of Employer Morgan Stanley Occupation Head	Aggregate Year-to-Date 1000.00	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	Contribution	

SUBTOTAL of Receipts This Page (optional)	1600.00
TOTAL This Period (last page this line number only)

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 9 / 17
	<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. Full Name (Last, First, Middle Initial)
Mr. Kevin G. Woodruff

Mailing Address 240 Riverside Blvd.
#3A

City State Zip Code
New York NY 10069

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

Name of Employer Occupation
Morgan Stanley Managing Director

Receipt For: Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
M M / D D / Y Y Y Y Y
0 8 / 0 6 / 2 0 0 7

Transaction ID: 14459597

Amount of Each Receipt this Period
1000.00

Contribution

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

Mailing Address 972 Lily Pond Lane

City State Zip Code
Franklin Lakes NJ 07417

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

Name of Employer Occupation
Morgan Stanley Managing Director

Receipt For: Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
M M / D D / Y Y Y Y Y
0 8 / 0 6 / 2 0 0 7

Transaction ID: 14459598

Amount of Each Receipt this Period
1000.00

Contribution

C. Full Name (Last, First, Middle Initial)
Tash Elwyn

Mailing Address 436 14th Avenue NE

City State Zip Code
St. Petersburg FL 33701

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

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

Receipt For: Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
250.00

Date of Receipt
M M / D D / Y Y Y Y Y
0 8 / 0 6 / 2 0 0 7

Transaction ID: 14459610

Amount of Each Receipt this Period
250.00

Contribution

SUBTOTAL of Receipts This Page (optional)	▶	2250.00
TOTAL This Period (last page this line number only)	▶	

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 10 / 17
	<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. Scott A. Barkow		Date of Receipt M M / D D / Y Y Y Y 08 / 03 / 2007	
Mailing Address 13421 S.W. 70th Avenue		Transaction ID: 14459687	
City State Zip Code Miami FL 33156	Amount of Each Receipt this Period 300.00		
FEC ID number of contributing federal political committee. C	Contribution		
Name of Employer Raymond James Financial, Inc. Occupation Sr. Vice President	Aggregate Year-to-Date 300.00		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)			

Full Name (Last, First, Middle Initial) B. Mr. Tom S. Nelson		Date of Receipt M M / D D / Y Y Y Y 08 / 06 / 2007	
Mailing Address 6 Spring Ridge Drive		Transaction ID: 14460452	
City State Zip Code Great Falls MT 59404	Amount of Each Receipt this Period 500.00		
FEC ID number of contributing federal political committee. C	Contribution		
Name of Employer Davidson Companies Occupation CFO	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) C. Ms. Colleen A. Schon		Date of Receipt M M / D D / Y Y Y Y 08 / 07 / 2007	
Mailing Address 6050 Green Bank Drive		Transaction ID: 14460463	
City State Zip Code Grand Blanc MI 48439	Amount of Each Receipt this Period 250.00		
FEC ID number of contributing federal political committee. C	Contribution		
Name of Employer Raymond James Financial, Inc. Occupation Senior VP	Aggregate Year-to-Date 250.00		
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)			

SUBTOTAL of Receipts This Page (optional)	1050.00
TOTAL This Period (last page this line number only)	

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

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

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

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

A. Full Name (Last, First, Middle Initial) Mr. Robert J. Citrino, III Mailing Address 21 Hoaglands Lane City State Zip Code Old Brookville NY 11545 FEC ID number of contributing federal political committee. C		Date of Receipt <table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>8</td><td></td><td>0</td><td>8</td><td></td><td>2</td><td>0</td><td>0</td><td>7</td> </tr> </table> Transaction ID: 14465948 Amount of Each Receipt this Period <table border="1"> <tr> <td>1000.00</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	8		0	8		2	0	0	7	1000.00
M	M	/	D	D	/	Y	Y	Y	Y														
0	8		0	8		2	0	0	7														
1000.00																							
Name of Employer Morgan Stanley Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <table border="1"> <tr> <td>1000.00</td> </tr> </table> Contribution	1000.00																					
1000.00																							

B. Full Name (Last, First, Middle Initial) Mr. David A. Mayo Mailing Address 7329 Van Gogh Drive City State Zip Code Dardenne Prairie MO 63368 FEC ID number of contributing federal political committee. C		Date of Receipt <table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>8</td><td></td><td>0</td><td>8</td><td></td><td>2</td><td>0</td><td>0</td><td>7</td> </tr> </table> Transaction ID: 14465950 Amount of Each Receipt this Period <table border="1"> <tr> <td>250.00</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	8		0	8		2	0	0	7	250.00
M	M	/	D	D	/	Y	Y	Y	Y														
0	8		0	8		2	0	0	7														
250.00																							
Name of Employer Edward Jones Occupation Partner Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <table border="1"> <tr> <td>250.00</td> </tr> </table> Contribution	250.00																					
250.00																							

C. Full Name (Last, First, Middle Initial) Mr. James A. Tricarico, Jr. Mailing Address 766 Park Avenue City State Zip Code Manhasset NY 11030 FEC ID number of contributing federal political committee. C		Date of Receipt <table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>8</td><td></td><td>0</td><td>8</td><td></td><td>2</td><td>0</td><td>0</td><td>7</td> </tr> </table> Transaction ID: 14465951 Amount of Each Receipt this Period <table border="1"> <tr> <td>5000.00</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	8		0	8		2	0	0	7	5000.00
M	M	/	D	D	/	Y	Y	Y	Y														
0	8		0	8		2	0	0	7														
5000.00																							
Name of Employer Edward Jones Occupation General Counsel Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ <table border="1"> <tr> <td>5000.00</td> </tr> </table> Contribution	5000.00																					
5000.00																							

SUBTOTAL of Receipts This Page (optional)	6250.00
TOTAL This Period (last page this line number only)	

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 12 / 17
	<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. Full Name (Last, First, Middle Initial) Mr. Alan D. Schwartz Mailing Address 383 Madison Avenue City State Zip Code New York NY 10167 FEC ID number of contributing federal political committee. C		Date of Receipt M M / D D / Y Y Y Y Y 0 8 / 1 3 / 2 0 0 7 Transaction ID: 14468865 Amount of Each Receipt this Period 1000.00
Name of Employer Bear (The) Stearns Companies Inc. Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ 1000.00 Contribution

B. Full Name (Last, First, Middle Initial) Mr. Alan Greenberg Mailing Address 383 Madison Avenue City State Zip Code New York NY 10167 FEC ID number of contributing federal political committee. C		Date of Receipt M M / D D / Y Y Y Y Y 0 8 / 1 3 / 2 0 0 7 Transaction ID: 14468866 Amount of Each Receipt this Period 1000.00
Name of Employer Bear (The) Stearns Companies Inc. Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ 1000.00 Contribution

C. Full Name (Last, First, Middle Initial) Mr. Howard D. Marsh Mailing Address 15 Orchard Hill Lane City State Zip Code Greenwich CT 06831 FEC ID number of contributing federal political committee. C		Date of Receipt M M / D D / Y Y Y Y Y 0 8 / 1 3 / 2 0 0 7 Transaction ID: 14469474 Amount of Each Receipt this Period 5000.00
Name of Employer Citigroup Global Markets Holdings Inc Occupation Managing Director Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ 5000.00 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) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 13 / 17
	<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. Marshal Salant		Date of Receipt M M / D D / Y Y Y Y 0 8 / 1 6 / 2 0 0 7
Mailing Address 360 East 72nd Street		Transaction ID: 14478055
City State Zip Code New York NY 10021	Amount of Each Receipt this Period 2000.00	
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Morgan Stanley	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 2000.00	

Full Name (Last, First, Middle Initial) B. Mr. Michael Chu		Date of Receipt M M / D D / Y Y Y Y 0 8 / 1 4 / 2 0 0 7
Mailing Address 4909 Eagle Creek Lane		Transaction ID: 14478058
City State Zip Code Gig Harbor WA 98335	Amount of Each Receipt this Period 250.00	
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Raymond James Financial, Inc.	Occupation 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) C. Mr. Ira P. Federer		Date of Receipt M M / D D / Y Y Y Y 0 8 / 1 5 / 2 0 0 7
Mailing Address 4911 Andros Drive		Transaction ID: 14478065
City State Zip Code Tampa FL 33629	Amount of Each Receipt this Period 250.00	
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	

SUBTOTAL of Receipts This Page (optional) ▶	2500.00
TOTAL This Period (last page this line number only) ▶	(Empty box)

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

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

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

A. Full Name (Last, First, Middle Initial) Mr. J. Scott DeFife		Date of Receipt M M / D D / Y Y Y Y 0 8 / 2 3 / 2 0 0 7	
Mailing Address 1915 North Johnson Street		Transaction ID: 14495906	
City State Zip Code Arlington VA 22207		Amount of Each Receipt this Period 2500.00	
FEC ID number of contributing federal political committee. C		Contribution	
Name of Employer Securities Industry and Financial Mark		Occupation Sr. Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ 5000.00	

B. Full Name (Last, First, Middle Initial) Mr. Stephen G. Hill		Date of Receipt M M / D D / Y Y Y Y 0 8 / 2 0 / 2 0 0 7	
Mailing Address 3110 W. Dunwoodie Street		Transaction ID: 14495914	
City State Zip Code Tampa FL 33629		Amount of Each Receipt this Period 1000.00	
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 ▼ 1000.00	

C. Full Name (Last, First, Middle Initial) Mr. John A. Anderson		Date of Receipt M M / D D / Y Y Y Y 0 8 / 1 5 / 2 0 0 7	
Mailing Address 9750 Oatley Lane		Transaction ID: 14495919	
City State Zip Code Burke VA 22015-4423		Amount of Each Receipt this Period 125.00	
FEC ID number of contributing federal political committee. C		Contribution	
Name of Employer Securities Industry and Financial Mark		Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼ 1375.00	

SUBTOTAL of Receipts This Page (optional) ▶	3625.00
TOTAL This Period (last page this line number only) ▶	(Empty box)

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 15 / 17
	<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. Full Name (Last, First, Middle Initial)
Mr Keith Utsey

Mailing Address 320 Washington Avenue #2C

City State Zip Code
Brooklyn NY 11205-3703

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
343.75

Date of Receipt
MM / DD / YYYY
08 / 15 / 2007

Transaction ID: 14495920

Amount of Each Receipt this Period
31.25

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

Mailing Address 585 Farview Avenue

City State Zip Code
Wyckoff NJ 07481-1141

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

Name of Employer Securities Industry and Financial Mark
Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
838.86

Date of Receipt
MM / DD / YYYY
08 / 15 / 2007

Transaction ID: 14495921

Amount of Each Receipt this Period
129.43

C. Full Name (Last, First, Middle Initial)
Mr. Gregory R. Vincenti

Mailing Address 5013 Cliffwood Road

City State Zip Code
Louisville KY 40222

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

Name of Employer Hilliard Lyons
Occupation VP

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
300.00

Date of Receipt
MM / DD / YYYY
08 / 31 / 2007

Transaction ID: 14509441

Amount of Each Receipt this Period
300.00

Contribution

SUBTOTAL of Receipts This Page (optional)	460.68
TOTAL This Period (last page this line number only)	

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 16 / 17
	<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. Full Name (Last, First, Middle Initial)
Mr. Thomas F Price

Mailing Address 585 Farview Avenue

City State Zip Code
Wyckoff NJ 07481-1141

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
968.29

Date of Receipt
M M / D D / Y Y Y Y Y
08 / 29 / 2007

Transaction ID: 14509452

Amount of Each Receipt this Period
129.43

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

Mailing Address 9750 Oatley Lane

City State Zip Code
Burke VA 22015-4423

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 ▼
1500.00

Date of Receipt
M M / D D / Y Y Y Y Y
08 / 29 / 2007

Transaction ID: 14509453

Amount of Each Receipt this Period
125.00

C. Full Name (Last, First, Middle Initial)
Mr Keith Utsey

Mailing Address 320 Washington Avenue #2C

City State Zip Code
Brooklyn NY 11205-3703

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
375.00

Date of Receipt
M M / D D / Y Y Y Y Y
08 / 29 / 2007

Transaction ID: 14509454

Amount of Each Receipt this Period
31.25

SUBTOTAL of Receipts This Page (optional)	285.68
TOTAL This Period (last page this line number only)	30807.04

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

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

FOR LINE NUMBER: (check only one)

PAGE 17 / 17

<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
Bank Fees

Candidate Name

001
Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: Primary General
 Other (specify) ▼

State: District:

Transaction ID: 14550335

Date of Disbursement

08 / 02 / 2007

Amount of Each Disbursement this Period

542.90

Bank Fees

Full Name (Last, First, Middle Initial)

B. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

Candidate Name

001
Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: Primary General
 Other (specify) ▼

State: District:

Transaction ID: 14550336

Date of Disbursement

08 / 06 / 2007

Amount of Each Disbursement this Period

461.70

Credit Card Fees

SUBTOTAL of Disbursements This Page (optional)

1004.60

TOTAL This Period (last page this line number only)

1004.60