

**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="2014"/>	<input type="text" value="249148.88"/>	<input type="text" value="249148.88"/>
(b) Cash on Hand at Beginning of Reporting Period.....	<input type="text" value="117358.08"/>	
(c) Total Receipts (from Line 19)	<input type="text" value="1789.34"/>	<input type="text" value="326877.02"/>
(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="119147.42"/>	<input type="text" value="576025.90"/>
7. Total Disbursements (from Line 31).....	<input type="text" value="25628.93"/>	<input type="text" value="482507.41"/>
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)).....	<input type="text" value="93518.49"/>	<input type="text" value="93518.49"/>
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: 10 / 01 / 2014 To: 10 / 15 / 2014

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).....	1760.39	247022.05
(ii) Unitemized	28.95	11023.54
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ▶	1789.34	258045.59
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	62000.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5)	1789.34	320045.59
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).....	0.00	3568.92
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....	0.00	3125.00
17. Other Federal Receipts (Dividends, Interest, etc.).....	0.00	137.51
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))..... ▶	1789.34	326877.02
20. Total Federal Receipts (subtract Line 18(c) from Line 19)..... ▶	1789.34	326877.02

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

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	128.93	4507.41
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	128.93	4507.41
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	25500.00	478000.00
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)) ..	25628.93	482507.41
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	25628.93	482507.41

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)	1789.34	320045.59
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	1789.34	320045.59
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	128.93	4507.41
37. Offsets to Operating Expenditures (from Line 15, page 3).....	0.00	3568.92
38. Net Operating Expenditures (subtract Line 37 from Line 36)	128.93	938.49

**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 22
	<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
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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. 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
 Name of Employer Securities Industry and Financial Mark Occupation President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 3847.00

Date of Receipt 10 / 01 / 2014
Transaction ID : 22086826
 Amount of Each Receipt this Period 192.35

B. 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
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 384.60

Date of Receipt 10 / 01 / 2014
Transaction ID : 22086827
 Amount of Each Receipt this Period 19.23

C. Ms. Kyle Brandon
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director, DOR
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 1923.00

Date of Receipt 10 / 01 / 2014
Transaction ID : 22086828
 Amount of Each Receipt this Period 96.15

SUBTOTAL of Receipts This Page (optional).....▶ 307.73
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 22
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

A. 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 ▼ 770.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 01 / 2014
Transaction ID : 22086830
 Amount of Each Receipt this Period
 38.50

B. 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 ▼ 500.50

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 01 / 2014
Transaction ID : 22086832
 Amount of Each Receipt this Period
 38.50

C. Ms. Cheryl Crispen
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4279
 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 ▼ 1923.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 01 / 2014
Transaction ID : 22086833
 Amount of Each Receipt this Period
 96.15

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 8 OF 22
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

A. 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
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 770.00

Date of Receipt 10 / 01 / 2014
Transaction ID : 22086834
 Amount of Each Receipt this Period 38.50

B. Tracy Eichler
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 35th Floor
 City New York State NY Zip Code 10271-3599
 Name of Employer Securities Industry and Financial Mark Occupation Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 384.60

Date of Receipt 10 / 01 / 2014
Transaction ID : 22086835
 Amount of Each Receipt this Period 19.23

C. 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
 Name of Employer Securities Industry and Financial Mark Occupation Vice President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 384.60

Date of Receipt 10 / 01 / 2014
Transaction ID : 22086836
 Amount of Each Receipt this Period 19.23

SUBTOTAL of Receipts This Page (optional)..... ▶ 76.96
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 22
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

A. 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 ▼
1538.40

Date of Receipt
10 / 01 / 2014
Transaction ID : 22086837

Amount of Each Receipt this Period
76.92

B. Ms. Nancy Donohoe Lancia
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, State Govt. Affairs

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
770.00

Date of Receipt
10 / 01 / 2014
Transaction ID : 22086838

Amount of Each Receipt this Period
38.50

C. Theodore Lazo
Full Name (Last, First, Middle Initial)

Mailing Address 1101 New York Avenue, NW
8th Floor

City Washington State DC Zip Code 20005-4279

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 ▼
404.00

Date of Receipt
10 / 01 / 2014
Transaction ID : 22086839

Amount of Each Receipt this Period
38.50

SUBTOTAL of Receipts This Page (optional)..... ▶ 153.92

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 22
	<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
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NAME OF COMMITTEE (In Full)
Securities Industry and Financial Markets Association Political Action Committee

A. Mr. Payson R. Peabody
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Avenue, NW
 8th Floor
 City Washington State DC Zip Code 20005-4279
 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 ▼ 770.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 01 / 2014
Transaction ID : 22086840
 Amount of Each Receipt this Period
 38.50

B. Mr. Thomas F Price
 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 ▼ 1039.22

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 01 / 2014
Transaction ID : 22086841
 Amount of Each Receipt this Period
 76.96

C. Mr. Joseph M. Vaughan
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Avenue, NW
 Suite 800
 City Washington State DC Zip Code 20005-4279
 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 ▼ 616.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 01 / 2014
Transaction ID : 22086843
 Amount of Each Receipt this Period
 38.50

SUBTOTAL of Receipts This Page (optional).....▶	153.96
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 11 OF 22
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
	<input type="checkbox"/> 15	<input type="checkbox"/> 16
	<input type="checkbox"/> 17	

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

A. 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 **4039.35**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086844
 Amount of Each Receipt this Period
192.35

B. 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 **403.83**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086845
 Amount of Each Receipt this Period
19.23

C. 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 **2019.15**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086846
 Amount of Each Receipt this Period
96.15

SUBTOTAL of Receipts This Page (optional)..... **307.73**
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 22
	<input checked="" type="checkbox"/> 11a <input type="checkbox"/> 13	<input type="checkbox"/> 11b <input type="checkbox"/> 14

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

A. David Carson
 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, Member Engagement
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **202.65**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086847
 Amount of Each Receipt this Period
9.65

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 **808.50**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086848
 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 **202.65**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086849
 Amount of Each Receipt this Period
9.65

SUBTOTAL of Receipts This Page (optional).....	57.80
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 22
	<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
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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 **539.00**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086850
 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
 8th Floor
 City Washington State DC Zip Code 20005-4279
 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 **2019.15**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086851
 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 **808.50**

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086852
 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 14 OF 22
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
		<input type="checkbox"/> 15
		<input type="checkbox"/> 16
		<input type="checkbox"/> 17

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

A. 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 ▼
403.83

Date of Receipt
10 / 15 / 2014
Transaction ID : 22086853

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 ▼
403.83

Date of Receipt
10 / 15 / 2014
Transaction ID : 22086854

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 ▼
1615.32

Date of Receipt
10 / 15 / 2014
Transaction ID : 22086855

Amount of Each Receipt this Period
76.92

SUBTOTAL of Receipts This Page (optional)..... ▶ 115.38

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

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

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

FOR LINE NUMBER: PAGE 15 OF 22
(check only one)
 11a 11b 11c 12
 13 14 15 16 17

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

Full Name (Last, First, Middle Initial)
A. Ms. Nancy Donohoe Lancia
 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, State Govt. Affairs
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 808.50

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086856
 Amount of Each Receipt this Period
 38.50

Full Name (Last, First, Middle Initial)
B. Theodore Lazo
 Mailing Address 1101 New York Avenue, NW
 8th Floor
 City Washington State DC Zip Code 20005-4279
 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 ▼ 442.50

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086857
 Amount of Each Receipt this Period
 38.50

Full Name (Last, First, Middle Initial)
C. Mr. Payson R. Peabody
 Mailing Address 1101 New York Avenue, NW
 8th Floor
 City Washington State DC Zip Code 20005-4279
 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
 M M M / D D D / Y Y Y Y Y Y
 10 / 15 / 2014
Transaction ID : 22086858
 Amount of Each Receipt this Period
 38.50

SUBTOTAL of Receipts This Page (optional)..... ▶ 115.50
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 22
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
		<input type="checkbox"/> 15
		<input type="checkbox"/> 16
		<input type="checkbox"/> 17

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

A. Mr. Thomas F Price
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 ▼
1116.18

Date of Receipt
10 / 15 / 2014
Transaction ID : 22086859

Amount of Each Receipt this Period
76.96

B. Mr. Tom Tierney
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 ▼
202.65

Date of Receipt
10 / 15 / 2014
Transaction ID : 22086860

Amount of Each Receipt this Period
9.65

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

Mailing Address 1101 New York Avenue, NW
Suite 800

City Washington State DC Zip Code 20005-4279

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 ▼
654.50

Date of Receipt
10 / 15 / 2014
Transaction ID : 22086861

Amount of Each Receipt this Period
38.50

SUBTOTAL of Receipts This Page (optional).....	125.11
TOTAL This Period (last page this line number only).....	1760.39

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

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

FOR LINE NUMBER:
(check only one)

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

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 Fee

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Transaction ID : 22086761

Amount of Each Disbursement this Period

Credit Card Fee

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 : 22086762

Amount of Each Disbursement this Period

Bank Fees

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City State Zip Code

Purpose of Disbursement

Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

/ /

Amount of Each Disbursement this Period

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Terri Sewell For Congress

Mailing Address P.O. Box 1964

City Birmingham State AL Zip Code 35201

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Terri A. Sewell

Category/Type

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

Disbursement For: 2014
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2014

Transaction ID : 22045356

Amount of Each Disbursement this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

B. Forward Together

Mailing Address 1751 POTOMAC GREENS DRIVE

City Alexandria State VA Zip Code 22314

Purpose of Disbursement Contribution

011

Candidate Name

Forward Together

Category/Type

Office Sought: House Senate President
State: District:

Disbursement For:
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2014

Transaction ID : 22045358

Amount of Each Disbursement this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Texans For Henry Cuellar Congressional Campaign

Mailing Address 1519 Washington Street Suite 200

City Laredo State TX Zip Code 78040

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Henry Cuellar

Category/Type

Office Sought: House Senate President
State: TX District: 28

Disbursement For: 2014
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 02 / 2014

Transaction ID : 22045361

Amount of Each Disbursement this Period

1000.00

Contribution

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

6000.00

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

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

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

FOR LINE NUMBER:
(check only one)

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Wyden For Senate

Mailing Address 232 Ne 9th Avenue

City Portland State OR Zip Code 97232

Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Ron Wyden

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2016
 Primary General
 Other (specify) ▼

State: OR District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y
10 / 02 / 2014

Transaction ID : 22045434

Amount of Each Disbursement this Period

3000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Yoder For Congress, Inc

Mailing Address PO Box 26742

City Overland Park State KS Zip Code 66225

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Kevin Yoder

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: KS District: 03

Date of Disbursement

M M / D D / Y Y Y Y Y Y
10 / 03 / 2014

Transaction ID : 22045596

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Bill Foster For Congress Committee

Mailing Address P.O. Box 9104

City Aurora State IL Zip Code 60598

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Bill Foster

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: IL District: 14

Date of Disbursement

M M / D D / Y Y Y Y Y Y
10 / 08 / 2014

Transaction ID : 22061415

Amount of Each Disbursement this Period

1000.00

Contribution

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

5000.00

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

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

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

FOR LINE NUMBER:
(check only one)

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. David Scott For Congress

Mailing Address P.O. Box 960821

City Riverdale State GA Zip Code 30296

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. David Albert Scott

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: GA District: 13

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			08			2014			

Transaction ID : 22061416

Amount of Each Disbursement this Period

2000.00

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

M	M	/	D	D	/	Y	Y	Y	Y
10			08			2014			

Transaction ID : 22061417

Amount of Each Disbursement this Period

3500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Jim Himes For Congress

Mailing Address 857 Post Road, #312

City Fairfield State CT Zip Code 06824

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. James A. Himes

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: CT District: 04

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			08			2014			

Transaction ID : 22061418

Amount of Each Disbursement this Period

4500.00

Contribution

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

10000.00

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

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

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

FOR LINE NUMBER:
(check only one)

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Sean Patrick Maloney For Congress

Mailing Address 18 W Main St

City Beacon State NY Zip Code 12508

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Sean Maloney

Category/Type

Office Sought: House Senate President
State: NY District: 18

Disbursement For: 2014
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 08 / 2014

Transaction ID : 22061419

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Citizens For Cochran

Mailing Address PO Box 7183

City Tupelo State MS Zip Code 38802

Purpose of Disbursement Contribution

011

Candidate Name

Sen. Thad Cochran

Category/Type

Office Sought: House Senate President
State: MS District:

Disbursement For: 2014
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 14 / 2014

Transaction ID : 22066288

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Horsford For Congress

Mailing Address 6100 Elton Ave, Suite 1000

City Las Vegas State NV Zip Code 89107

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Steven Horsford

Category/Type

Office Sought: House Senate President
State: NV District: 04

Disbursement For: 2014
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 15 / 2014

Transaction ID : 22072841

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Carper For Senate

Mailing Address PO Box 2882

City Wilmington State DE Zip Code 19805

Purpose of Disbursement
Contribution

011

Category/
Type

Candidate Name

Sen. Thomas R. Carper

Office Sought: House
 Senate
 President

Disbursement For: 2018
 Primary General
 Other (specify) ▼

State: DE District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y
10 / 15 / 2014

Transaction ID : 22072850

Amount of Each Disbursement this Period

1500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

Purpose of Disbursement

Category/
Type

Candidate Name

Office Sought: House
 Senate
 President

Disbursement For:
 Primary General
 Other (specify) ▼

State: District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

C.

Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

Purpose of Disbursement

Category/
Type

Candidate Name

Office Sought: House
 Senate
 President

Disbursement For:
 Primary General
 Other (specify) ▼

State: District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y

Amount of Each Disbursement this Period

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

1500.00

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

25500.00