



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

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

Report Covering the Period: From: 

M	M
1	0

D	D
0	1

Y	Y	Y	Y
2	0	1	0

 To: 

M	M
1	0

D	D
1	3

Y	Y	Y	Y
2	0	1	0

	COLUMN A This Period	COLUMN B Calendar Year-to-Date								
6. (a) Cash on Hand January 1 <table border="1"><tr><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr><tr><td>2</td><td>0</td><td>1</td><td>0</td></tr></table>	Y	Y	Y	Y	2	0	1	0		111977.94
Y	Y	Y	Y							
2	0	1	0							
(b) Cash on Hand at Beginning of Reporting Period .....	199413.86									
(c) Total Receipts (from Line 19) .....	13061.04	370189.71								
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B) .....	212474.90	482167.65								
7. Total Disbursements (from Line 31) .....	3229.73	272922.48								
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	209245.17	209245.17								
9. Debts and Obligations owed <b>TO</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00									
10. Debts and Obligations owed <b>BY</b> the committee (Itemize all on Schedule C and/or Schedule D) .....	0.00									

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

**For further information contact:**

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

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

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: 

M	M
1	0

D	D
0	1

Y	Y	Y	Y
2	0	1	0

 To: 

M	M
1	0

D	D
1	3

Y	Y	Y	Y
2	0	1	0

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) .....	5452.39	243221.61
(ii) Unitemized .....	2608.65	59775.35
(iii) TOTAL (add Lines 11(a)(i) and (ii) .....	8061.04	302996.96
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs) .....	5000.00	56500.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5) .....	13061.04	359496.96
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	5692.75
16. Refunds of Contributions Made to Federal candidates and Other Political Committees .....	0.00	5000.00
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)) .....	13061.04	370189.71
20. Total Federal Receipts (subtract Line 18(c) from Line 19) .....	13061.04	370189.71

## DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

II. DISBURSEMENTS	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Shared Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share.....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures.....	229.73	5922.48
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ▶	229.73	5922.48
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	3000.00	267000.00
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))..	3229.73	272922.48
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	3229.73	272922.48

**DETAILED SUMMARY PAGE**  
of Disbursements

FEC Form 3X (Rev. 02/2003)

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III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) from Line 11(d), page 3) .....	13061.04	359496.96
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	13061.04	359496.96
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	229.73	5922.48
37. Offsets to Operating Expenditures (from Line 15, page 3) .....	0.00	5692.75
38. Net Operating Expenditures (subtract Line 37 from Line 36) .....	229.73	229.73

# 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 / 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**

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. David William Sisemore	Date of Receipt MM / DD / YYYY 10 / 01 / 2010
	Mailing Address 275 Bayshore Blvd, #1608	<b>Transaction ID:</b> 18616554
	City State Zip Code Tampa FL 33606-2340	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Raymond James Financial, Inc.	Occupation Regional Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Tracy M. Belton, CFP	Date of Receipt MM / DD / YYYY 10 / 06 / 2010
	Mailing Address 1745 Heim Road	<b>Transaction ID:</b> 18627313
	City State Zip Code Mount Dora FL 32757-3617	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Raymond James Financial, Inc.	Occupation Senior Vice President/Investments	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

<b>C.</b>	Full Name (Last, First, Middle Initial) Mr. Kenneth E. Armstrong	Date of Receipt MM / DD / YYYY 10 / 06 / 2010
	Mailing Address 1253 89th Avenue North	<b>Transaction ID:</b> 18627326
	City State Zip Code Saint Petersburg FL 33702-2956	Amount of Each Receipt this Period 500.00
	FEC ID number of contributing federal political committee. <b>C</b>	<b>Contribution</b>
Name of Employer Raymond James Financial, Inc.	Occupation Assoc. General Counsel	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<b>1500.00</b>
<b>TOTAL</b> This Period (last page this line number only) .....	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 7 / 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	

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

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. William F. Burke, Jr.		Date of Receipt
	Mailing Address P.O. Box 390		<input type="text"/> M <input type="text"/> M / <input type="text"/> D <input type="text"/> D / <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y 1 0 / 0 6 / 2 0 1 0
	City	State	Zip Code
	Brookside	NJ	07926-0390
	FEC ID number of contributing federal political committee. <b>C</b>		<b>Transaction ID:</b> 18632004
Name of Employer Raymond James Financial, Inc.		Occupation Registered Principal	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼	<input type="text"/> 250.00
			Contribution

<b>B.</b>	Full Name (Last, First, Middle Initial) Mark J. Smith		Date of Receipt
	Mailing Address 9635 Maroon Circle, #230		<input type="text"/> M <input type="text"/> M / <input type="text"/> D <input type="text"/> D / <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y 1 0 / 0 5 / 2 0 1 0
	City	State	Zip Code
	Englewood	CO	80112-5927
	FEC ID number of contributing federal political committee. <b>C</b>		<b>Transaction ID:</b> 18632059
Name of Employer Raymond James Financial, Inc.		Occupation Financial Advisor	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼	<input type="text"/> 250.00
			Contribution

<b>C.</b>	Full Name (Last, First, Middle Initial) Mr. Joseph Palena		Date of Receipt
	Mailing Address 6009 NE 175th Cir.		<input type="text"/> M <input type="text"/> M / <input type="text"/> D <input type="text"/> D / <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y 1 0 / 0 5 / 2 0 1 0
	City	State	Zip Code
	Vancouver	WA	98686-1775
	FEC ID number of contributing federal political committee. <b>C</b>		<b>Transaction ID:</b> 18632063
Name of Employer Raymond James Financial, Inc.		Occupation Financial Advisor	Amount of Each Receipt this Period
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		Aggregate Year-to-Date ▼	<input type="text"/> 250.00
			Contribution

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

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 8 / 17  
(check only one)

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

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

**A.** Full Name (Last, First, Middle Initial)  
Alexander Cipollone

Mailing Address 5231 Foothills Trail, NE

City State Zip Code  
Albuquerque NM 87111-9222

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: 10 / 05 / 2010  
Transaction ID: 18632070  
Amount of Each Receipt this Period: 250.00  
Contribution

**B.** Full Name (Last, First, Middle Initial)  
Mr. Paul A. Hack

Mailing Address 657 Greenwood Street

City State Zip Code  
Birmingham MI 48009-3815

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 ▼ 250.00

Date of Receipt: 10 / 05 / 2010  
Transaction ID: 18632072  
Amount of Each Receipt this Period: 250.00  
Contribution

**C.** Full Name (Last, First, Middle Initial)  
Mr. Daniel P. Fairweather

Mailing Address 20 Hancock Street, #4

City State Zip Code  
Boston MA 02114-4165

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: 10 / 05 / 2010  
Transaction ID: 18632674  
Amount of Each Receipt this Period: 250.00  
Contribution

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **750.00**

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

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

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

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

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. Scott D. Peisner	Date of Receipt MM / DD / YYYY 10 / 04 / 2010
	Mailing Address 14820 Rue de Bayonne, #503	<b>Transaction ID:</b> 18632679
	City State Zip Code Clearwater FL 33762-3030	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
Name of Employer Raymond James Financial, Inc.	Occupation Regional Director of Sales	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 350.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. John L. Forney	Date of Receipt MM / DD / YYYY 10 / 04 / 2010
	Mailing Address 300 Rafael Blvd NE	<b>Transaction ID:</b> 18632688
	City State Zip Code Saint Petersburg FL 33704-3828	Amount of Each Receipt this Period 250.00
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
Name of Employer Raymond James Financial, Inc.	Occupation Managing Director, Public Finance	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

<b>C.</b>	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley	Date of Receipt MM / DD / YYYY 10 / 08 / 2010
	Mailing Address 8424 Frost Way	<b>Transaction ID:</b> 18664568
	City State Zip Code Annandale VA 22003-2221	Amount of Each Receipt this Period 25.26
	FEC ID number of contributing federal political committee. <b>C</b>	Contribution
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 1853.06	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	525.26
<b>TOTAL</b> This Period (last page this line number only) .....	

# SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 10 / 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

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

<b>A.</b>	Full Name (Last, First, Middle Initial) Mr. Thomas F Price	Date of Receipt M M / D D / Y Y Y Y Y 1 0 / 0 8 / 2 0 1 0
	Mailing Address 585 Farview Avenue	<b>Transaction ID:</b> 18664573
	City State Zip Code Wyckoff NJ 07481-1141	Amount of Each Receipt this Period 38.50
	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 ▼ 770.00	

<b>B.</b>	Full Name (Last, First, Middle Initial) Mr. Joseph M. Vaughan	Date of Receipt M M / D D / Y Y Y Y Y 1 0 / 0 8 / 2 0 1 0
	Mailing Address 1305 Shepard Street, NW	<b>Transaction ID:</b> 18664575
	City State Zip Code Washington DC 20011-5529	Amount of Each Receipt this Period 19.23
	FEC ID number of contributing federal political committee. C	Contribution
	Name of Employer Securities Industry and Financial Mark Occupation Vice President Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Aggregate Year-to-Date ▼ 288.45	

<b>C.</b>	Full Name (Last, First, Middle Initial) Ms. Margaret Simmons	Date of Receipt M M / D D / Y Y Y Y Y 1 0 / 0 8 / 2 0 1 0
	Mailing Address 4743 Bradley Blvd. Number 304	<b>Transaction ID:</b> 18664577
	City State Zip Code Chevy Chase MD 20815	Amount of Each Receipt this Period 96.20
	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 ▼ 1924.00	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	▶	153.93
<b>TOTAL</b> This Period (last page this line number only) .....	▶	

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

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

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

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

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

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 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 ▼ 731.50

Date of Receipt: 10 / 08 / 2010  
**Transaction ID: 18664583**  
 Amount of Each Receipt this Period: 38.50  
 Contribution

**B.** Full Name (Last, First, Middle Initial)  
Ms. N. Ellen McCarthy

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 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 ▼ 731.50

Date of Receipt: 10 / 08 / 2010  
**Transaction ID: 18664587**  
 Amount of Each Receipt this Period: 38.50  
 Contribution

**C.** Full Name (Last, First, Middle Initial)  
Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW  
8th Floor

City State Zip Code  
Washington DC 20005-4269

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

Name of Employer: Securities Industry and Financial Mark  
Occupation: EVP, Public Policy and Advocacy

Receipt For:  
 Primary    General  
 Other (specify) ▼

Aggregate Year-to-Date ▼ 3847.00

Date of Receipt: 10 / 08 / 2010  
**Transaction ID: 18664588**  
 Amount of Each Receipt this Period: 192.35  
 Contribution

**SUBTOTAL** of Receipts This Page (optional) ..... ► 269.35

**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 12 / 17  
(check only one)

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

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

<p><b>A.</b> Full Name (Last, First, Middle Initial) Marin E. Gibson</p> <p>Mailing Address 796 Port Monmouth Rd.</p> <p>City State Zip Code Port Monmouth NJ 07758-1676</p> <p>FEC ID number of contributing federal political committee. <span style="border: 1px solid black; padding: 2px;">C</span></p> <p>Name of Employer Securities Industry and Financial Mark</p> <p>Occupation Managing Director &amp; Counsel</p> <p>Receipt For:  <input type="checkbox"/> Primary <input type="checkbox"/> General  <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼  <span style="border: 1px solid black; padding: 2px;">1154.00</span></p>	<p>Date of Receipt  <span style="border: 1px solid black; padding: 2px;">M M / D D / Y Y Y Y</span>  <span style="border: 1px solid black; padding: 2px;">1 0 / 0 8 / 2 0 1 0</span></p> <p><b>Transaction ID:</b> 18664589</p> <p>Amount of Each Receipt this Period  <span style="border: 1px solid black; padding: 2px;">57.70</span></p> <p>Contribution</p>
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<p><b>B.</b> Full Name (Last, First, Middle Initial) Mr. Carter McDowell</p> <p>Mailing Address 1101 New York Ave, NW 8th Floor</p> <p>City State Zip Code Washington DC 20005-4269</p> <p>FEC ID number of contributing federal political committee. <span style="border: 1px solid black; padding: 2px;">C</span></p> <p>Name of Employer Securities Industry and Financial Mark</p> <p>Occupation Senior Managing Director</p> <p>Receipt For:  <input type="checkbox"/> Primary <input type="checkbox"/> General  <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼  <span style="border: 1px solid black; padding: 2px;">2000.00</span></p>	<p>Date of Receipt  <span style="border: 1px solid black; padding: 2px;">M M / D D / Y Y Y Y</span>  <span style="border: 1px solid black; padding: 2px;">1 0 / 0 8 / 2 0 1 0</span></p> <p><b>Transaction ID:</b> 18664591</p> <p>Amount of Each Receipt this Period  <span style="border: 1px solid black; padding: 2px;">100.00</span></p> <p>Contribution</p>
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<p><b>C.</b> Full Name (Last, First, Middle Initial) Ms. Cheryl Crispen</p> <p>Mailing Address 1101 New York Ave, NW</p> <p>City State Zip Code Washington DC 20005-4213</p> <p>FEC ID number of contributing federal political committee. <span style="border: 1px solid black; padding: 2px;">C</span></p> <p>Name of Employer Securities Industry and Financial Mark</p> <p>Occupation Executive Vice President, Communicatio</p> <p>Receipt For:  <input type="checkbox"/> Primary <input type="checkbox"/> General  <input type="checkbox"/> Other (specify) ▼</p> <p>Aggregate Year-to-Date ▼  <span style="border: 1px solid black; padding: 2px;">288.45</span></p>	<p>Date of Receipt  <span style="border: 1px solid black; padding: 2px;">M M / D D / Y Y Y Y</span>  <span style="border: 1px solid black; padding: 2px;">1 0 / 0 8 / 2 0 1 0</span></p> <p><b>Transaction ID:</b> 18664593</p> <p>Amount of Each Receipt this Period  <span style="border: 1px solid black; padding: 2px;">96.15</span></p> <p>Contribution</p>
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<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<span style="border: 1px solid black; padding: 2px;">253.85</span>
<b>TOTAL</b> This Period (last page this line number only) .....	

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

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

FOR LINE NUMBER: PAGE 13 / 17

(check only one)

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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

**A.**

Full Name (Last, First, Middle Initial)

Mr. Michael C. Roney

Mailing Address 303 Weydon Road

City

Worthington

State

OH

Zip Code

43085-3046

FEC ID number of contributing federal political committee.

C

Name of Employer  
Raymond James Financial, Inc.

Occupation

VP - Investments, WMS, IMC

Receipt For:

Primary  General  
 Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

MM / DD / YYYY  
10 / 13 / 2010

Transaction ID: 18664597

Amount of Each Receipt this Period

250.00

Contribution

**B.**

Full Name (Last, First, Middle Initial)

Mr. Edward G. Sella

Mailing Address 9515 W. Stanhope Road

City

Kensington

State

MD

Zip Code

20895-3524

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 ▼

1000.00

Date of Receipt

MM / DD / YYYY  
10 / 13 / 2010

Transaction ID: 18664600

Amount of Each Receipt this Period

1000.00

Contribution

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

1250.00

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

5452.39

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

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

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

<b>A.</b>	Full Name (Last, First, Middle Initial) Credit Suisse Securities (USA) Political Action Committee		Date of Receipt
	Mailing Address 1201 F Street, NW Suite 450		<input type="text" value="10"/> / <input type="text" value="06"/> / <input type="text" value="2010"/>
	City	State	Zip Code
	Washington	DC	20004
	FEC ID number of contributing federal political committee.		Transaction ID: 18627323
	C C00111559		Amount of Each Receipt this Period
Name of Employer		Occupation	<input type="text" value="5000.00"/>
Receipt For:		Aggregate Year-to-Date ▼	Contribution
<input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		<input type="text" value="5000.00"/>	

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	<input type="text" value="5000.00"/>
<b>TOTAL</b> This Period (last page this line number only) .....	<input type="text" value="5000.00"/>

**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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<b>A.</b> Full Name (Last, First, Middle Initial) Mike Pence Committee <hr/> Mailing Address P. O. Box 408 <hr/> City Anderson State IN Zip Code 46015 <hr/> Purpose of Disbursement Contribution Contribution Candidate Name Rep. Michael R. Pence <hr/> Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: IN District: 06 Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18634499 Date of Disbursement 10 / 11 / 2010 <hr/> Amount of Each Disbursement this Period 1500.00 <hr/> Contribution
	Category/Type 011
<b>B.</b> Full Name (Last, First, Middle Initial) Graves For Congress <hr/> Mailing Address 2345 Grand, Suite 2400 <hr/> City Kansas City State MO Zip Code 64108 <hr/> Purpose of Disbursement Contribution Contribution Candidate Name Rep. Samuel B. Graves, Jr. <hr/> Office Sought: <input checked="" type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: MO District: 06 Disbursement For: 2010 <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Transaction ID: 18634501 Date of Disbursement 10 / 11 / 2010 <hr/> Amount of Each Disbursement this Period 1500.00 <hr/> Contribution
	Category/Type 011

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

3000.00

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

3000.00

**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)

PAGE 16 / 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

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

A.	Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 18666029
	Mailing Address 1400 K Street, NW	Date of Disbursement 10 / 04 / 2010
	City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period 88.72
	Purpose of Disbursement Bank Fees Candidate Name	001 Category/Type
	Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Bank Fees

B.	Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 18666030
	Mailing Address 1400 K Street, NW	Date of Disbursement 10 / 04 / 2010
	City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period 49.68
	Purpose of Disbursement Bank Fees Candidate Name	001 Category/Type
	Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Bank Fees

C.	Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 18666033
	Mailing Address 1400 K Street, NW	Date of Disbursement 10 / 04 / 2010
	City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period 27.21
	Purpose of Disbursement Bank Fees Candidate Name	001 Category/Type
	Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼
		Bank Fees

<b>SUBTOTAL</b> of Disbursements This Page (optional) .....	▶	165.61
<b>TOTAL</b> This Period (last page this line number only) .....	▶	

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

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

FOR LINE NUMBER:  
(check only one)

PAGE 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

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement  
Bank Fees

Candidate Name

001  
Category/  
Type

Office Sought:  House  
 Senate  
 President

Disbursement For:  Primary  General  
 Other (specify) ▼

State: District:

Transaction ID: 18666059

Date of Disbursement

10 / 05 / 2010

Amount of Each Disbursement this Period

64.12

Bank Fees

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

64.12

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

229.73