

**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="93518.49"/>	
(c) Total Receipts (from Line 19)	<input type="text" value="34778.40"/>	<input type="text" value="361655.42"/>
(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="128296.89"/>	<input type="text" value="610804.30"/>
7. Total Disbursements (from Line 31).....	<input type="text" value="2360.13"/>	<input type="text" value="484867.54"/>
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)).....	<input type="text" value="125936.76"/>	<input type="text" value="125936.76"/>
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	<input type="text" value="0.00"/>	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	<input type="text" value="0.00"/>	

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

For further information contact:

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

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

DETAILED SUMMARY PAGE
of Receipts

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

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

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A).....	34289.34	281311.39
(ii) Unitemized	0.00	11023.54
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ▶	34289.34	292334.93
(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)	34289.34	354334.93
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).....	489.06	4057.98
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))..... ▶	34778.40	361655.42
20. Total Federal Receipts (subtract Line 18(c) from Line 19)..... ▶	34778.40	361655.42

DETAILED SUMMARY PAGE
of Disbursements

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	360.13	4867.54
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	360.13	4867.54
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	2000.00	480000.00
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)) ..	2360.13	484867.54
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	2360.13	484867.54

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)	34289.34	354334.93
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	34289.34	354334.93
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	360.13	4867.54
37. Offsets to Operating Expenditures (from Line 15, page 3).....	489.06	4057.98
38. Net Operating Expenditures (subtract Line 37 from Line 36)	-128.93	809.56

**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 31
<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

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

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

A. Mr. Michael Sharp
Full Name (Last, First, Middle Initial)
Mailing Address 388 Greenwich Street
City New York State NY Zip Code 10013-2375
FEC ID number of contributing federal political committee. **C**
Name of Employer Jefferies & Company Occupation General Counsel
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **5000.00**

Date of Receipt **10 / 17 / 2014**
Transaction ID : 22082093
Amount of Each Receipt this Period **5000.00**
Contribution

B. Mr. Don Steel
Full Name (Last, First, Middle Initial)
Mailing Address 16726 Monte Hermosa Drive
City Pacific Palisades State CA Zip Code 90272-1908
FEC ID number of contributing federal political committee. **C**
Name of Employer Planned Investment Co., Inc. Occupation CEO
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **5000.00**

Date of Receipt **10 / 29 / 2014**
Transaction ID : 22093300
Amount of Each Receipt this Period **5000.00**
Contribution

C. Kent Christian
Full Name (Last, First, Middle Initial)
Mailing Address 600 S Warson Road
City Saint Louis State MO Zip Code 63124-1255
FEC ID number of contributing federal political committee. **C**
Name of Employer Wells Fargo Advisors Occupation President
Receipt For: Primary General Other (specify) Aggregate Year-to-Date **1000.00**

Date of Receipt **10 / 31 / 2014**
Transaction ID : 22095099
Amount of Each Receipt this Period **1000.00**
Contribution

SUBTOTAL of Receipts This Page (optional)..... **11000.00**
TOTAL This Period (last page this line number only).....

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 7 OF 31
	<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. Warren Stephens
 Full Name (Last, First, Middle Initial)
 Mailing Address 111 Center Street
 PO Box 3507
 City Little Rock State AR Zip Code 72201-4402
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Stephens Inc. Occupation President and CEO
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **5000.00**

Date of Receipt **11 / 10 / 2014**
Transaction ID : 22101779
 Amount of Each Receipt this Period **5000.00**
 Contribution

B. Mr. James Febo Jr.
 Full Name (Last, First, Middle Initial)
 Mailing Address 82 Devonshire Street
 F5E
 City Boston State MA Zip Code 02109-3614
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Fidelity Investments Occupation Vice President Government Affairs
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1000.00**

Date of Receipt **11 / 12 / 2014**
Transaction ID : 22102105
 Amount of Each Receipt this Period **1000.00**
 Contribution

C. Richard B Payne
 Full Name (Last, First, Middle Initial)
 Mailing Address 100 Third Avenue South
 Unit 1201
 City Minneapolis State MN Zip Code 55401-2708
 FEC ID number of contributing federal political committee. **C**
 Name of Employer U.S. Bancorp Occupation Vice President of Wholesale Banking
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **5000.00**

Date of Receipt **11 / 12 / 2014**
Transaction ID : 22102106
 Amount of Each Receipt this Period **5000.00**
 Contribution

SUBTOTAL of Receipts This Page (optional)..... **11000.00**
TOTAL This Period (last page this line number only).....

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 8 OF 31
	<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. Craig R McRoberts
 Full Name (Last, First, Middle Initial)
 Mailing Address 117 Country Brook Drive
 City Venetia State PA Zip Code 15367-1051
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Hefren-Tillotson, Inc. Occupation Executive Vice President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 500.00

Date of Receipt 11 / 17 / 2014
Transaction ID : 22102772
 Amount of Each Receipt this Period 500.00
 Contribution

B. Mr. Michael R. Durbin
 Full Name (Last, First, Middle Initial)
 Mailing Address 127 Waverly Avenue
 City Newton State MA Zip Code 02458-2406
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Fidelity Investments Occupation Investment Services
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 1000.00

Date of Receipt 11 / 18 / 2014
Transaction ID : 22105032
 Amount of Each Receipt this Period 1000.00
 Contribution

C. Mr. John J. Remondi
 Full Name (Last, First, Middle Initial)
 Mailing Address 300 Boylston Street
 City Boston State MA Zip Code 02116-3923
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Fidelity Brokerage Occupation Sr. VP
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 1000.00

Date of Receipt 11 / 18 / 2014
Transaction ID : 22105033
 Amount of Each Receipt this Period 1000.00
 Contribution

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 9 OF 31
	<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. William L Byrnes
Full Name (Last, First, Middle Initial)

Mailing Address 1801 Gulf Shore Boulevard North
Apt. 403

City Naples State FL Zip Code 34102-4915

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

Name of Employer Fidelity Investments Occupation Investment Advisor

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 1000.00

Date of Receipt 11 / 18 / 2014
Transaction ID : 22105035

Amount of Each Receipt this Period 1000.00

Contribution

B. Douglas Borden
Full Name (Last, First, Middle Initial)

Mailing Address 108 Franklin Street
Unit 1

City New York State NY Zip Code 10013-2951

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

Name of Employer KCG Holdings, Inc. Occupation Managing Director

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 250.00

Date of Receipt 11 / 18 / 2014
Transaction ID : 22105037

Amount of Each Receipt this Period 250.00

Contribution

C. Zion Shohet
Full Name (Last, First, Middle Initial)

Mailing Address 399 Park Avenue
Third Floor

City New York State NY Zip Code 10022-4686

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

Name of Employer Citigroup Global Markets Holdings Inc Occupation Executive Vice President

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼ 2000.00

Date of Receipt 11 / 18 / 2014
Transaction ID : 22105039

Amount of Each Receipt this Period 2000.00

Contribution

SUBTOTAL of Receipts This Page (optional).....▶	3250.00
TOTAL This Period (last page this line number only).....▶	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 10 OF 31
	<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

Full Name (Last, First, Middle Initial)
A. Michael Kearney

Mailing Address 245 Pond Street

City Cohasset State MA Zip Code 02025-1937

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

Name of Employer Fidelity Investments Occupation Treasurer, National Financial Services

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
500.00

Date of Receipt
11 / 19 / 2014
Transaction ID : 22108601

Amount of Each Receipt this Period
500.00

Contribution

Full Name (Last, First, Middle Initial)
B. Mr. Edward O'Brien

Mailing Address 21 Powers Lane

City Attleboro State MA Zip Code 02703-1072

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

Name of Employer Fidelity Brokerage Occupation Sr. VP

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
500.00

Date of Receipt
11 / 19 / 2014
Transaction ID : 22108602

Amount of Each Receipt this Period
500.00

Contribution

Full Name (Last, First, Middle Initial)
C. Mr. George H. Walker

Mailing Address 45 Greene Street Apt. 6

City New York State NY Zip Code 10013-2634

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

Name of Employer Neuberger Berman Occupation Chairman & CEO

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
1000.00

Date of Receipt
11 / 19 / 2014
Transaction ID : 22108603

Amount of Each Receipt this Period
1000.00

Contribution

SUBTOTAL of Receipts This Page (optional)..... ▶ 2000.00

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 11 OF 31
	<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. Ms. Abigail P. Johnson
 Full Name (Last, First, Middle Initial)
 Mailing Address 1196 Canton Avenue
 City Milton State MA Zip Code 02186-2413
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Fidelity Investments Occupation President
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1000.00**

Date of Receipt **11 / 19 / 2014**
Transaction ID : 22108604
 Amount of Each Receipt this Period **1000.00**
 Contribution

B. John Meegan
 Full Name (Last, First, Middle Initial)
 Mailing Address 1791 Tragove Avenue
 City Pittsburgh State PA Zip Code 15241
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Hefren-Tillotson, Inc. Occupation COO
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **500.00**

Date of Receipt **11 / 24 / 2014**
Transaction ID : 22114049
 Amount of Each Receipt this Period **500.00**
 Contribution

C. Stephen Phillips
 Full Name (Last, First, Middle Initial)
 Mailing Address 18 Loeffler Lane
 City Medfield State MA Zip Code 02052-3144
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Fidelity Investments Occupation SVP, Head of FI Risk Oversight
 Receipt For: Primary General Other (specify)
 Aggregate Year-to-Date **1000.00**

Date of Receipt **11 / 24 / 2014**
Transaction ID : 22114154
 Amount of Each Receipt this Period **1000.00**
 Contribution

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 12 OF 31
	<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

Full Name (Last, First, Middle Initial) A. Kurt Carlson		Date of Receipt M M / D D / Y Y Y Y 11 / 20 / 2014 Transaction ID : 22162094
Mailing Address 438 Myoma Road		Amount of Each Receipt this Period 250.00
City Mars	State PA	Zip Code 16046-2320
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Hefren-Tillotson, Inc.	Occupation Executive Vice President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 250.00	

Full Name (Last, First, Middle Initial) B. Mr. Kenneth E. Bentsen Jr.		Date of Receipt M M / D D / Y Y Y Y 11 / 12 / 2014 Transaction ID : 22166788
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 192.35
City Washington	State DC	Zip Code 20005-4269
FEC ID number of contributing federal political committee. C		Contribution
Name of Employer Securities Industry and Financial Mark	Occupation President	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼	Aggregate Year-to-Date ▼ 4424.05	

Full Name (Last, First, Middle Initial) C. Ms. Lisa Bleier		Date of Receipt M M / D D / Y Y Y Y 11 / 12 / 2014 Transaction ID : 22166789
Mailing Address 1101 New York Ave, NW 8th Floor		Amount of Each Receipt this Period 19.23
City Washington	State DC	Zip Code 20005-4269
FEC ID number of contributing federal political committee. C		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 ▼ 442.29	

SUBTOTAL of Receipts This Page (optional).....▶	461.58
TOTAL This Period (last page this line number only).....▶	

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 13 OF 31
	<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

Full Name (Last, First, Middle Initial) A. Ms. Kyle Brandon		Date of Receipt M M / D D / Y Y Y Y Y 11 / 12 / 2014 Transaction ID : 22166790
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 96.15
City New York	State Zip Code NY 10271-3599	
FEC ID number of contributing federal political committee. C		Aggregate Year-to-Date ▼ 2211.45
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director, DOR	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

Full Name (Last, First, Middle Initial) B. David Carson		Date of Receipt M M / D D / Y Y Y Y Y 11 / 12 / 2014 Transaction ID : 22166791
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 9.65
City New York	State Zip Code NY 10271-3599	
FEC ID number of contributing federal political committee. C		Aggregate Year-to-Date ▼ 221.95
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director, Member Engagement	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

Full Name (Last, First, Middle Initial) C. Ms Kim Chamberlain		Date of Receipt M M / D D / Y Y Y Y Y 11 / 12 / 2014 Transaction ID : 22166792
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 38.50
City New York	State Zip Code NY 10271-3599	
FEC ID number of contributing federal political committee. C		Aggregate Year-to-Date ▼ 885.50
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director & Counsel, State Gov	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

SUBTOTAL of Receipts This Page (optional).....▶	144.30
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 31
	<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. 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 ▼
221.95

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166793

Amount of Each Receipt this Period
9.65

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 ▼
616.00

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166794

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 ▼
2211.45

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166795

Amount of Each Receipt this Period
96.15

SUBTOTAL of Receipts This Page (optional)..... ▶ 144.30

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 31
	<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. 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 ▼
1769.16

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166799

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 ▼
885.50

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166800

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 ▼
519.50

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166801

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 17 OF 31
	<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. 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 ▼
885.50

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166802

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 ▼
1270.10

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166803

Amount of Each Receipt this Period
76.96

C. 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 ▼
221.95

Date of Receipt
11 / 12 / 2014
Transaction ID : 22166804

Amount of Each Receipt this Period
9.65

SUBTOTAL of Receipts This Page (optional).....▶ 125.11

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 18 OF 31
	<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. 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
 Name of Employer Securities Industry and Financial Mark Occupation Vice President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 731.50

Date of Receipt 11 / 12 / 2014
Transaction ID : 22166805
 Amount of Each Receipt this Period 38.50

B. Mr. Kenneth E. Bentsen Jr.
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 Name of Employer Securities Industry and Financial Mark Occupation President
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 4231.70

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166828
 Amount of Each Receipt this Period 192.35

C. Ms. Lisa Bleier
 Full Name (Last, First, Middle Initial)
 Mailing Address 1101 New York Ave, NW
 8th Floor
 City Washington State DC Zip Code 20005-4269
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 423.06

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166829
 Amount of Each Receipt this Period 19.23

SUBTOTAL of Receipts This Page (optional)..... ▶ 250.08
TOTAL This Period (last page this line number only)..... ▶

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 19 OF 31
	<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b
	<input type="checkbox"/> 13	<input type="checkbox"/> 14
	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
		<input type="checkbox"/> 15
		<input type="checkbox"/> 16
		<input type="checkbox"/> 17

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

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

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

Mailing Address 120 Broadway
35th Floor

City New York State NY Zip Code 10271-3599

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

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

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼
2115.30

Date of Receipt
10 / 29 / 2014
Transaction ID : 22166830

Amount of Each Receipt this Period
96.15

B. 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 ▼
212.30

Date of Receipt
10 / 29 / 2014
Transaction ID : 22166831

Amount of Each Receipt this Period
9.65

C. 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 ▼
847.00

Date of Receipt
10 / 29 / 2014
Transaction ID : 22166832

Amount of Each Receipt this Period
38.50

SUBTOTAL of Receipts This Page (optional)..... ▶ 144.30

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

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 20 OF 31
	<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 Salvatore Chiarelli
 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
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 212.30

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166833
 Amount of Each Receipt this Period 9.65

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
 Name of Employer Securities Industry and Financial Mark
 Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 577.50

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166834
 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
 Name of Employer Securities Industry and Financial Mark
 Occupation Executive Vice President, Communicatio
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 2115.30

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166835
 Amount of Each Receipt this Period 96.15

SUBTOTAL of Receipts This Page (optional).....▶ 144.30
TOTAL This Period (last page this line number only).....▶

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

Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)	PAGE 21 OF 31
	<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. 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 ▼ 847.00

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 29 / 2014
Transaction ID : 22166836
 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
 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 ▼ 423.06

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 29 / 2014
Transaction ID : 22166837
 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
 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 ▼ 423.06

Date of Receipt
 M M M / D D D / Y Y Y Y Y Y
 10 / 29 / 2014
Transaction ID : 22166838
 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 22 OF 31
	<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

Full Name (Last, First, Middle Initial) A. Marin E. Gibson		Date of Receipt M M M / D D D / Y Y Y Y Y Y 10 / 29 / 2014 Transaction ID : 22166839
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 76.92
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 1692.24
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director & Counsel	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

Full Name (Last, First, Middle Initial) B. Ms. Nancy Donohoe Lancia		Date of Receipt M M M / D D D / Y Y Y Y Y Y 10 / 29 / 2014 Transaction ID : 22166840
Mailing Address 120 Broadway 35th Floor		Amount of Each Receipt this Period 38.50
City New York	State NY	
Zip Code 10271-3599		Aggregate Year-to-Date ▼ 847.00
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: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

Full Name (Last, First, Middle Initial) C. Theodore Lazo		Date of Receipt M M M / D D D / Y Y Y Y Y Y 10 / 29 / 2014 Transaction ID : 22166841
Mailing Address 1101 New York Avenue, NW 8th Floor		Amount of Each Receipt this Period 38.50
City Washington	State DC	
Zip Code 20005-4279		Aggregate Year-to-Date ▼ 481.00
FEC ID number of contributing federal political committee. C		
Name of Employer Securities Industry and Financial Mark	Occupation Managing Director	
Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼		

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 23 OF 31
	<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. 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
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 847.00

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166842
 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
 Name of Employer Securities Industry and Financial Mark Occupation Managing Director
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 1193.14

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166843
 Amount of Each Receipt this Period 76.96

C. Mr. Tom Tierney
 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
 Receipt For: Primary General Other (specify) ▼
 Aggregate Year-to-Date ▼ 212.30

Date of Receipt 10 / 29 / 2014
Transaction ID : 22166844
 Amount of Each Receipt this Period 9.65

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

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

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

FOR LINE NUMBER: (check only one)	PAGE 24 OF 31
<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"/>	<input type="checkbox"/> 17

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

A. 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 ▼
693.00

Date of Receipt
M M / D D / Y Y Y Y Y Y
10 / 29 / 2014

Transaction ID : 22166845

Amount of Each Receipt this Period
38.50

B.

Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

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

Name of Employer Occupation

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt
M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

C.

Full Name (Last, First, Middle Initial)

Mailing Address

City State Zip Code

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

Name of Employer Occupation

Receipt For:
 Primary General
 Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt
M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

SUBTOTAL of Receipts This Page (optional).....▶	38.50
TOTAL This Period (last page this line number only).....▶	34289.34

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

Use separate schedule(s) for each category of the Detailed Summary Page		FOR LINE NUMBER: (check only one)	PAGE 25 OF 31
<input type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input checked="" type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
			<input type="checkbox"/> 17

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

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

A. Securities Industry and Financial Markets Association
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 Floor 35
 City New York State NY Zip Code 10271
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 3835.36

Date of Receipt
 M M / D D / Y Y Y Y
 10 / 24 / 2014
Transaction ID : 22089407
 Amount of Each Receipt this Period
 128.93
 Reimbursement of Bank Fees

B. Securities Industry and Financial Markets Association
 Full Name (Last, First, Middle Initial)
 Mailing Address 120 Broadway
 Floor 35
 City New York State NY Zip Code 10271
 FEC ID number of contributing federal political committee. **C**
 Name of Employer Occupation
 Receipt For:
 Primary General
 Other (specify) ▼
 Aggregate Year-to-Date ▼
 4195.49

Date of Receipt
 M M / D D / Y Y Y Y
 11 / 24 / 2014
Transaction ID : 22114050
 Amount of Each Receipt this Period
 360.13
 Reimbursement of Bank Fees

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

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

SUBTOTAL of Receipts This Page (optional).....▶	489.06
TOTAL This Period (last page this line number only).....▶	489.06

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

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

FOR LINE NUMBER:
(check only one)

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

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

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

001
Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y Y
11 / 05 / 2014

Transaction ID : 22162089

Amount of Each Disbursement this Period

147.50

Credit Card Fees

Full Name (Last, First, Middle Initial)

B. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Bank Fees

001
Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y Y
11 / 03 / 2014

Transaction ID : 22162090

Amount of Each Disbursement this Period

112.68

Bank Fees

Full Name (Last, First, Middle Initial)

C. PNC Bank

Mailing Address 1400 K Street, NW

City Washington State DC Zip Code 20005

Purpose of Disbursement
Credit Card Fees

001
Category/
Type

Candidate Name

Office Sought: House Senate President
State: District:

Disbursement For: Primary General Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y Y
11 / 03 / 2014

Transaction ID : 22162092

Amount of Each Disbursement this Period

99.95

Credit Card Fees

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

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

360.13

360.13

**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. Jeanne Shaheen For Senate

Mailing Address PO Box 1510

City Manchester State NH Zip Code 03105

Purpose of Disbursement
Contribution

011

Candidate Name

Sen. Jeanne Shaheen

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: NH District:

Date of Disbursement

M M / D D / Y Y Y Y Y Y
10 / 20 / 2014

Transaction ID : 22084298

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. First State PAC

Mailing Address 426 C Street, NE

City Washington State DC Zip Code 20002

Purpose of Disbursement
Contribution

011

Candidate Name

First State PAC

Category/
Type

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
10 / 23 / 2014

Transaction ID : 22089146

Amount of Each Disbursement this Period

1500.00

Contribution

Full Name (Last, First, Middle Initial)

C. 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

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: NY District: 18

Date of Disbursement

M M / D D / Y Y Y Y Y Y
10 / 31 / 2014

Transaction ID : 22095072

Amount of Each Disbursement this Period

1000.00

Contribution

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

3500.00

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

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

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

FOR LINE NUMBER:
(check only one)

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

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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. 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 / 31 / 2014

Transaction ID : 22095078

Amount of Each Disbursement this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Jeanne Shaheen For Senate

Mailing Address PO Box 1510

City Manchester State NH Zip Code 03105

Purpose of Disbursement Contribution

011

Candidate Name

Sen. Jeanne Shaheen

Category/Type

Office Sought: House Senate President
State: NH District:

Disbursement For: 2014
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 31 / 2014

Transaction ID : 22095079

Amount of Each Disbursement this Period

2000.00

Contribution

Full Name (Last, First, Middle Initial)

C. Bob Goodlatte For Congress Committee

Mailing Address P.O. Box 292

City Roanoke State VA Zip Code 24002

Purpose of Disbursement Contribution

011

Candidate Name

Rep. Robert W. Goodlatte

Category/Type

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

Disbursement For: 2014
 Primary General Other (specify) ▼

Date of Disbursement

MM / DD / YYYY
10 / 31 / 2014

Transaction ID : 22095080

Amount of Each Disbursement this Period

2000.00

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. Lynn Jenkins For Congress

Mailing Address PO Box 1441

City Topeka State KS Zip Code 66601

Purpose of Disbursement
Contribution

011

Candidate Name

Rep. Lynn Jenkins

Category/
Type

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

Disbursement For: 2014
 Primary General
 Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y
10 / 31 / 2014

Transaction ID : 22095081

Amount of Each Disbursement this Period

1000.00

Contribution

Full Name (Last, First, Middle Initial)

B. Cotton For Senate

Mailing Address PO Box 379

City Dardanelle State AR Zip Code 72834

Purpose of Disbursement
Contribution

011

Candidate Name

Thomas Cotton

Category/
Type

Office Sought: House
 Senate
 President
State: AR District:

Disbursement For: 2014
 Primary General
 Other (specify) ▼
2014 General Debt Re

Date of Disbursement

M M / D D / Y Y Y Y Y
11 / 18 / 2014

Transaction ID : 22106301

Amount of Each Disbursement this Period

2500.00

Contribution

Full Name (Last, First, Middle Initial)

C. Carper For Senate

Mailing Address PO Box 2882

City Wilmington State DE Zip Code 19805

Purpose of Disbursement
Void - 10/15/14 Contribution

011

Candidate Name

Sen. Thomas R. Carper

Category/
Type

Office Sought: House
 Senate
 President
State: DE District:

Disbursement For: 2018
 Primary General
 Other (specify) ▼

Date of Disbursement

M M / D D / Y Y Y Y Y
10 / 23 / 2014

Transaction ID : 22162918

Amount of Each Disbursement this Period

-1500.00

Void - 10/15/14 Contribution

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

2000.00

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. Beatty For Congress

Mailing Address PO Box 172

City Columbus State OH Zip Code 43216

Purpose of Disbursement
Void - 3/28/14 Contribution

011

Candidate Name

Rep. Joyce Beatty

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: OH District: 03

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
11			21			2014			

Transaction ID : 22162924

Amount of Each Disbursement this Period

-1000.00

Void - 3/28/14 Contribution

Full Name (Last, First, Middle Initial)

B. Daniel Webster For Congress

Mailing Address 3400 Old Winter Garden Road

City Orlando State FL Zip Code 32805

Purpose of Disbursement
Void - 7/22/14 Contribution

011

Candidate Name

Rep. Daniel Webster

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: FL District: 10

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
11			21			2014			

Transaction ID : 22162925

Amount of Each Disbursement this Period

-1000.00

Void - 7/22/14 Contribution

Full Name (Last, First, Middle Initial)

C. Bill Shuster For Congress

Mailing Address PO Box 27

City Hollidaysburgh State PA Zip Code 16648

Purpose of Disbursement
Void - 8/26/14 Contribution

011

Candidate Name

Rep. William Franklin Shuster

Category/
Type

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: PA District: 09

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
11			21			2014			

Transaction ID : 22162926

Amount of Each Disbursement this Period

-2000.00

Void - 8/26/14 Contribution

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

-4000.00

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. Mulvaney For Congress

Mailing Address P.O. Box 1975

City Lancaster State SC Zip Code 29721

Purpose of Disbursement
Void - 8/26/14 Contribution

011

Category/
Type

Candidate Name

Rep. Mick Mulvaney

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: SC District: 05

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
11			21			2014			

Transaction ID : 22162937

Amount of Each Disbursement this Period

-2000.00

Void - 8/26/14 Contribution

Full Name (Last, First, Middle Initial)

B. Chris Gibson For Congress

Mailing Address PO Box 234

City Saratoga Springs State NY Zip Code 12866

Purpose of Disbursement
Void - 9/25/14 Contribution

011

Category/
Type

Candidate Name

Rep. Chris Gibson

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: NY District: 19

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			23			2014			

Transaction ID : 22162970

Amount of Each Disbursement this Period

-1000.00

Void - 9/25/14 Contribution

Full Name (Last, First, Middle Initial)

C. Peters For Congress

Mailing Address P.O. Box 21535

City Detroit State MI Zip Code 48221

Purpose of Disbursement
Void - 7/9/14 Contribution

011

Category/
Type

Candidate Name

Rep. Gary C. Peters

Office Sought: House
 Senate
 President

Disbursement For: 2014
 Primary General
 Other (specify) ▼

State: MI District: 09

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
10			23			2014			

Transaction ID : 22162978

Amount of Each Disbursement this Period

-2500.00

Void - 7/9/14 Contribution

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

-5500.00

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

2000.00
