

# REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee  
(Summary Page)

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FEDERAL ELECTION  
COMMISSION MAIL ROOM

MAY 20 4 02 PM '97

USE FEC MAILING LABEL  
OR  
TYPE OR PRINT

|   |  |   |
|---|--|---|
| 1. NAME OF COMMITTEE (Full) Securities Industry Association's Political Action Committee  |  | 2. FEC IDENTIFICATION NUMBER<br>C00067504 |
| ADDRESS (number and street) <input type="checkbox"/> Check if different than previously reported<br>1401 I Street NW Suite 1000 |  |   |
| CITY, STATE and ZIP CODE<br>Washington, DC 20005  |  |   |
| 3. <input type="checkbox"/> This committee has qualified as a multicandidate committee. (see FEC FORM 1M)                       |  |   |

## 4. TYPE OF REPORT

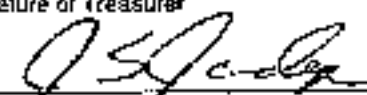
- (a)  April 15 Quarterly Report  
 July 15 Quarterly Report  
 October 15 Quarterly Report  
 January 31 Year End Report  
 July 31 Mid Year Report (Non-election Year Only)  
 Termination Report
- Monthly Report Due On:  
 February 20     June 20     October 20  
 March 20     July 20     November 20  
 April 20     August 20     December 20  
 May 20     September 20     January 31
- Twelfth day report preceding \_\_\_\_\_ (Type of Election)  
election on \_\_\_\_\_ in the State of \_\_\_\_\_
- Thirtieth day report following the General Election on \_\_\_\_\_  
in the State of \_\_\_\_\_

(b) Is this Report an Amendment?  YES  NO

| SUMMARY   |                        | COLUMN A<br>This Period | COLUMN B<br>Calendar Year-to-Date   |
|---|------------------------|-------------------------|---|
| 5. Covering Period  | 4/1/97 through 4/30/97 |                         |   |
| 6. (a) Cash on Hand January 1, 1997   |                        |                         | \$ 14,221.14  |
| (b) Cash on Hand at Beginning of Reporting Period   |                        | \$ 29,871.14            |   |
| (c) Total Receipts (from Line 19)   |                        | \$ 17,230.00            | \$ 42,230.00  |
| (d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)      |                        | \$ 47,101.14            | \$ 56,451.14  |
| 7. Total Disbursements (from Line 30)   |                        | \$ 11,482.72            | \$ 20,832.72  |
| 8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))                 |                        | \$ 35,618.42            | \$ 35,618.42  |
| 9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)  |                        | \$ 0                    | For further information contact:<br>Federal Election Commission<br>555 E Street, NW<br>Washington, DC 20463<br>Toll Free 800-424-9630<br>Local 202-219-3420 |
| 10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D) |                        | \$ 0                    |   |

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer: **Steve Judge**

Signature of Treasurer: 

Date: **5/20/97**

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

# DETAILED SUMMARY PAGE

## OF RECEIPTS AND DISBURSEMENTS

PAGE 2, FEC FORM 3X

(revised 1/1/91)

| NAME OF COMMITTEE<br><b>Securities Industry Association<br/>Political Action Committee</b> |   | REPORT COVERING PERIOD<br>FROM <b>4/1/97</b> TO: <b>4/30/97</b> |                           |
|--|---|---|---------------------------|
|  |   | COLUMN A<br>Total This Period                                   | COLUMN B<br>Calendar Year |
| <b>I. Receipts</b>   |   |   |                           |
| 11.  | Contributions (other than loans) From:  |   |                           |
| a.   | Individual/Persons Other Than Political Committees  |   |                           |
| i.   | Itemized (use Schedule A) .....   | 13,050.00   | 13,050.00                 |
| ii.  | Unitemized .....  | 3,180.00  | 3,180.00                  |
| iii.   | Total .....   | 16,230.00   | 16,230.00                 |
| b.   | Political Party Committees .....  |   |                           |
| c.   | Other Political Committees (such as PACs) .....   | 1,000.00  | 1,000.00                  |
| d.   | Total Contributions .....   | 17,230.00   | 42,230.00                 |
| 12.  | Transfers From Affiliated/Other Party Committees .....                                      |   |                           |
| 13.  | All Loans Received .....  |   |                           |
| 14.  | Loan Repayments Received .....  |   |                           |
| 15.  | Offsets To Operating Expenditures (Refunds, Rebates, etc.) .....                            |   |                           |
| 16.  | Refunds of Contributions Made to Federal Candidates and Other Political Committees .....    |   |                           |
| 17.  | Other Federal Receipts (Dividends, Interest, etc.) .....                                    |   |                           |
| 18.  | Transfers from Nonfederal Account for Joint Activity .....                                  |   |                           |
| 19.  | Total Receipts .....  | 17,230.00   | 42,230.00                 |
| 20.  | Total Federal Receipts .....  | 17,230.00   | 42,230.00                 |
| <b>II. Disbursements</b>   |   |   |                           |
| 21.  | Operating Expenditures:   |   |                           |
| a.   | Shared Federal/Non-Federal Activity (from Schedule H4)                                      |   |                           |
| i.   | Federal Share .....   |   |                           |
| ii.  | Non-Federal Share .....   |   |                           |
| b.   | Other Federal Operating Expenditures .....  |   |                           |
| c.   | Total Operating Expenditures .....  |   |                           |
| 22.  | Transfers to Affiliated/Other Party Committees .....  |   |                           |
| 23.  | Contributions to Federal Candidates/Committees and Other Political Committees .....         | 11,482.72   | 20,832.72                 |
| 24.  | Independent Expenditures (use Schedule E) .....   |   |                           |
| 25.  | Coordinated Expenditures Made by Party Committees (2 U.S.C. 441e(d)) (use Schedule F) ..... |   |                           |
| 26.  | Loan Repayments Made .....  |   |                           |
| 27.  | Loans Made .....  |   |                           |
| 28.  | Refunds of Contributions To:  |   |                           |
| a.   | Individuals/Persons Other Than Political Committees .....                                   |   |                           |
| b.   | Political Party Committees .....  |   |                           |
| c.   | Other Political Committees (such as PACs) .....   |   |                           |
| d.   | Total Contribution Refunds .....  |   |                           |
| 29.  | Other Disbursements .....   |   |                           |
| 30.  | Total Disbursements .....   | 11,482.72   | 20,832.72                 |
| 31.  | Total Federal Disbursements .....   | 11,482.72   | 20,832.72                 |
| <b>III. Net Contributions/Operating Expenditures</b>                                       |   |   |                           |
| 32.  | Total Contributions (other than loans)(from line 11d) .....                                 | 17,230.00   | 42,230.00                 |
| 33.  | Total Contribution Refunds (from line 28d) .....  | 0   | 0                         |
| 34.  | Net Contributions (other than loans)(subtract line 33 from line 32) .....                   | 17,230.00   | 42,230.00                 |
| 35.  | Total Federal Operating Expenditures .....  | 0   | 0                         |
| 36.  | Offsets to Operating Expenditures (from line 15) .....                                      | 0   | 0                         |
| 37.  | Net Operating Expenditures .....  | 0   | 0                         |

SCHEDULE A

ITEMIZED RECEIPTS

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

PAGE 1 OF 4  
FOR LINE NUMBER 17a1

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 Association

| A. Full Name, Mailing Address and Zip Code  | Name of Employer                 | Date (month, day, year)     | Amount of Each Receipt this Period |
|---|----------------------------------|-----------------------------|------------------------------------|
| David Hunter<br>436 Seventh Avenue, Koppers Bldg., 5th Flr.<br>Pittsburgh, PA 15219   | Hunter Assoc.                    | 4/8/97                      | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Investment Advisor | Aggregate Year-to-Date > \$ |                                    |
| B. Full Name, Mailing Address and Zip Code  | Name of Employer                 | Date (month, day, year)     | Amount of Each Receipt this Period |
| Earl D. Laing<br>403 N Shady Lane<br>Dothan AL 36902  | AG Edwards & Sons                | 4/8/97                      | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Regional Mgr       | Aggregate Year-to-Date > \$ |                                    |
| C. Full Name, Mailing Address and Zip Code  | Name of Employer                 | Date (month, day, year)     | Amount of Each Receipt this Period |
| Benjamin Edwards III<br>1 North Jefferson Place<br>St Louis MO 63103  | AG Edwards & Sons                | 4/1/97                      | \$1,000.00                         |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Investment Advisor | Aggregate Year-to-Date > \$ |                                    |
| D. Full Name, Mailing Address and Zip Code  | Name of Employer                 | Date (month, day, year)     | Amount of Each Receipt this Period |
| Joseph Buono<br>560 Kinderkamack Rd<br>Oradell NJ   | AG Edwards & Sons                | 4/8/97                      | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Branch Manager     | Aggregate Year-to-Date > \$ |                                    |
| E. Full Name, Mailing Address and Zip Code  | Name of Employer                 | Date (month, day, year)     | Amount of Each Receipt this Period |
| John Quinn<br>1 North Jefferson Place<br>St Louis MO 63103  | AG Edwards & Sons                | 4/8/97                      | \$400.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Sr. VP Manager     | Aggregate Year-to-Date > \$ |                                    |
| F. Full Name, Mailing Address and Zip Code  | Name of Employer                 | Date (month, day, year)     | Amount of Each Receipt this Period |
| S. Rewls Fortenberry<br>PO Box 518<br>Wintertown, FL 33887  | AG Edwards & sons                | 4/8/97                      | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Sr. VP             | Aggregate Year-to-Date > \$ |                                    |
| G. Full Name, Mailing Address and Zip Code  | Name of Employer                 | Date (month, day, year)     | Amount of Each Receipt this Period |
| Daniel McAullife<br>6045 N Scottsdale Rd<br>Scottsdale, AZ 85250  | AG Edwards & Sons                | 4/8/97                      | \$500.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Sr. VP Investments | Aggregate Year-to-Date > \$ |                                    |

SUBTOTAL of Receipts This Page (optional).....> \$2,900.00

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

**SCHEDULE A**

**ITEMIZED RECEIPTS**

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

PAGE 2 OF 4

FOR LINE NUMBER  
11a

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**NAME OF COMMITTEE (in full)**

Securities Industry Association

| A. Full Name, Mailing Address and Zip Code  | Name of Employer                | Date (month, day, year)     | Amount of Each Receipt this Period |
|---|---------------------------------|-----------------------------|------------------------------------|
| Jack w. Kowalski<br>201 No. Main Suite 300<br>Wichita KS 67202  | AG Edwards                      | 4/8/97                      | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Sr. VP            | Aggregate Year-to-Date > \$ |                                    |
| B. Full Name, Mailing Address and Zip Code<br>Thomas V. McConnell<br>77 Water Street, 6th<br>New York, 10005                          | AG Edwards                      | 4/8/97                      | \$300.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>VP Operations     | Aggregate Year-to-Date > \$ |                                    |
| C. Full Name, Mailing Address and Zip Code<br>William Thompson<br>8909 Norwick Rd<br>Richmond, VA 23229                               | AG Edwards                      | 4/22/97                     | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Investment Broker | Aggregate Year-to-Date > \$ |                                    |
| D. Full Name, Mailing Address and Zip Code<br>Walter Imhoff<br>1125 17th Suite 1700<br>Denver CO, 80202                               | Hanken, Imhoff                  | 4/8/97                      | \$750.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Chairman/CEO      | Aggregate Year-to-Date > \$ |                                    |
| E. Full Name, Mailing Address and Zip Code<br>Joseph Elsmen<br>498 Rockaway Valley Rd<br>Boonton Twp. NJ 07005                        | AG Edwards                      | 4/22/97                     | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation                      | Aggregate Year-to-Date > \$ |                                    |
| F. Full Name, Mailing Address and Zip Code<br>Roger Zassin<br>Suite 107 American Bank Plaza<br>Corpus Christi, TX 78475               | AG Edwards                      | 4/22/97                     | \$350.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>Broker/Manager    | Aggregate Year-to-Date > \$ |                                    |
| G. Full Name, Mailing Address and Zip Code<br>Oliver M. Langenberg<br>1 North Jefferson Street<br>ST Louis MO 68103                   | AG Edwards                      | 4/22/97                     | \$250.00                           |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation                      | Aggregate Year-to-Date > \$ |                                    |

**SUBTOTAL of Receipts This Page (optional)**.....> \$2,400.00

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

**SCHEDULE A**

**ITEMIZED RECEIPTS**

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

PAGE 3 OF 4  
FOR LINE NUMBER 11a

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**NAME OF COMMITTEE (in full)**  
Securities Industry Association

| A. Full Name, Mailing Address and Zip Code   | Name of Employer                                      | Date (month, day, year)                | Amount of Each Receipt this Period |
|--|---|--|------------------------------------|
| Randal Peck<br>11404 W. Dodge Rd Suite 600<br>Omaha, NE 68154<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | AG Edwards<br>Occupation<br>Branch Mgr/Broker         | 4/22/97<br>Aggregate Year-to-Date > \$ | \$ 250.00                          |
| Joseph Hinshaw III<br>90 Overlook Rd<br>Morristown, NJ 07960<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):    | AG Edwards & Sons<br>Occupation<br>Investment Advisor | 4/22/97<br>Aggregate Year-to-Date > \$ | \$ 250.00                          |
| James S. Grace<br>100 S. Jackson St<br>Jackson MI 49201<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):         | AG Edwards & Sons<br>Occupation<br>Branch Mgr/Broker  | 4/23/97<br>Aggregate Year-to-Date > \$ | \$ 250.00                          |
| John W. Hollie<br>320 Shore Rd<br>Venice FL 34286<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):               | AG Edwards & Sons<br>Occupation<br>Branch Mgr/Broker  | 4/23/97<br>Aggregate Year-to-Date > \$ | \$ 250.00                          |
| Russell D. Beck<br>808 W. Emma Ave<br>Springdale, AR 72764<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):      | AG Edwards & Sons<br>Occupation<br>Branch Mgr/Broker  | 4/23/97<br>Aggregate Year-to-Date > \$ | \$ 250.00                          |
| Richard L. Miller<br>333 E Washington Blvd<br>Ft Wayne IN 46802<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | AG Edwards & Sons<br>Occupation<br>Branch Manager     | 4/23/97<br>Aggregate Year-to-Date > \$ | \$ 500.00                          |
| John T. Curley<br>1 Boston Place<br>Boston MA 02108-4407<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):        | Herzog, Hains & Geduld<br>Occupation<br>Sales Trader  | 4/22/97<br>Aggregate Year-to-Date > \$ | \$ 1,000.00                        |

**SUBTOTAL of Receipts This Page (optional)**.....> \$ 2,750.00  
**TOTAL This Period (last page this line number only)**.....>

SCHEDULE A

ITEMIZED RECEIPTS

Use separate schedule(s)  
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Detailed Summary Page

PAGE 4 OF 4

FOR LINE NUMBER  
11a

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NAME OF COMMITTEE (in full)  
Securities Industry Association

| A. Full Name, Mailing Address and Zip Code   | Name of Employer                                  | Date (month, day, year)     | Amount of Each Receipt this Period |  |                  |                         |                                    |  |            |                             |  |
|--|---|-----------------------------|------------------------------------|--|------------------|-------------------------|------------------------------------|--|------------|-----------------------------|--|
| John E. Herzog<br>26 Broadway<br>New York, NY 10004<br>Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | Herzog, Heine & Geduld<br>Occupation<br>COB & CED | 4/22/97                     | \$5,000.00                         |  |                  |                         |                                    |  |            |                             |  |
| Aggregate Year-to-Date > \$  |   |                             |                                    |  |                  |                         |                                    |  |            |                             |  |
| <table border="1"> <thead> <tr> <th data-bbox="169 667 826 703">B. Full Name, Mailing Address and Zip Code</th> <th data-bbox="842 667 1062 703">Name of Employer</th> <th data-bbox="1084 667 1233 733">Date (month, day, year)</th> <th data-bbox="1306 667 1521 733">Amount of Each Receipt this Period</th> </tr> </thead> <tbody> <tr> <td data-bbox="169 825 826 872">                             Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br/> <input type="checkbox"/> Other(specify):                         </td> <td data-bbox="842 790 1062 825">Occupation</td> <td data-bbox="1084 849 1233 879">Aggregate Year-to-Date &gt; \$</td> <td></td> </tr> </tbody> </table>               |   |                             |                                    | B. Full Name, Mailing Address and Zip Code | Name of Employer | Date (month, day, year) | Amount of Each Receipt this Period | Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation | Aggregate Year-to-Date > \$ |  |
| B. Full Name, Mailing Address and Zip Code   | Name of Employer                                  | Date (month, day, year)     | Amount of Each Receipt this Period |  |                  |                         |                                    |  |            |                             |  |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | Occupation  | Aggregate Year-to-Date > \$ |                                    |  |                  |                         |                                    |  |            |                             |  |
| <table border="1"> <thead> <tr> <th data-bbox="169 886 826 921">C. Full Name, Mailing Address and Zip Code</th> <th data-bbox="842 886 1062 921">Name of Employer</th> <th data-bbox="1084 886 1233 952">Date (month, day, year)</th> <th data-bbox="1306 886 1521 952">Amount of Each Receipt this Period</th> </tr> </thead> <tbody> <tr> <td data-bbox="169 1048 826 1091">                             Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br/> <input type="checkbox"/> Other(specify):                         </td> <td data-bbox="842 1013 1062 1048">Occupation</td> <td data-bbox="1084 1072 1233 1103">Aggregate Year-to-Date &gt; \$</td> <td></td> </tr> </tbody> </table>         |   |                             |                                    | C. Full Name, Mailing Address and Zip Code | Name of Employer | Date (month, day, year) | Amount of Each Receipt this Period | Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation | Aggregate Year-to-Date > \$ |  |
| C. Full Name, Mailing Address and Zip Code   | Name of Employer                                  | Date (month, day, year)     | Amount of Each Receipt this Period |  |                  |                         |                                    |  |            |                             |  |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | Occupation  | Aggregate Year-to-Date > \$ |                                    |  |                  |                         |                                    |  |            |                             |  |
| <table border="1"> <thead> <tr> <th data-bbox="169 1105 826 1140">D. Full Name, Mailing Address and Zip Code</th> <th data-bbox="842 1105 1062 1140">Name of Employer</th> <th data-bbox="1084 1105 1233 1171">Date (month, day, year)</th> <th data-bbox="1306 1105 1521 1171">Amount of Each Receipt this Period</th> </tr> </thead> <tbody> <tr> <td data-bbox="169 1270 826 1310">                             Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br/> <input type="checkbox"/> Other(specify):                         </td> <td data-bbox="842 1234 1062 1270">Occupation</td> <td data-bbox="1084 1293 1233 1324">Aggregate Year-to-Date &gt; \$</td> <td></td> </tr> </tbody> </table> |   |                             |                                    | D. Full Name, Mailing Address and Zip Code | Name of Employer | Date (month, day, year) | Amount of Each Receipt this Period | Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation | Aggregate Year-to-Date > \$ |  |
| D. Full Name, Mailing Address and Zip Code   | Name of Employer                                  | Date (month, day, year)     | Amount of Each Receipt this Period |  |                  |                         |                                    |  |            |                             |  |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | Occupation  | Aggregate Year-to-Date > \$ |                                    |  |                  |                         |                                    |  |            |                             |  |
| <table border="1"> <thead> <tr> <th data-bbox="169 1324 826 1359">E. Full Name, Mailing Address and Zip Code</th> <th data-bbox="842 1324 1062 1359">Name of Employer</th> <th data-bbox="1084 1324 1233 1390">Date (month, day, year)</th> <th data-bbox="1306 1324 1521 1390">Amount of Each Receipt this Period</th> </tr> </thead> <tbody> <tr> <td data-bbox="169 1491 826 1528">                             Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br/> <input type="checkbox"/> Other(specify):                         </td> <td data-bbox="842 1455 1062 1491">Occupation</td> <td data-bbox="1084 1514 1233 1545">Aggregate Year-to-Date &gt; \$</td> <td></td> </tr> </tbody> </table> |   |                             |                                    | E. Full Name, Mailing Address and Zip Code | Name of Employer | Date (month, day, year) | Amount of Each Receipt this Period | Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation | Aggregate Year-to-Date > \$ |  |
| E. Full Name, Mailing Address and Zip Code   | Name of Employer                                  | Date (month, day, year)     | Amount of Each Receipt this Period |  |                  |                         |                                    |  |            |                             |  |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | Occupation  | Aggregate Year-to-Date > \$ |                                    |  |                  |                         |                                    |  |            |                             |  |
| <table border="1"> <thead> <tr> <th data-bbox="169 1542 826 1578">F. Full Name, Mailing Address and Zip Code</th> <th data-bbox="842 1542 1062 1578">Name of Employer</th> <th data-bbox="1084 1542 1233 1608">Date (month, day, year)</th> <th data-bbox="1306 1542 1521 1608">Amount of Each Receipt this Period</th> </tr> </thead> <tbody> <tr> <td data-bbox="169 1709 826 1747">                             Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br/> <input type="checkbox"/> Other(specify):                         </td> <td data-bbox="842 1674 1062 1709">Occupation</td> <td data-bbox="1084 1733 1233 1764">Aggregate Year-to-Date &gt; \$</td> <td></td> </tr> </tbody> </table> |   |                             |                                    | F. Full Name, Mailing Address and Zip Code | Name of Employer | Date (month, day, year) | Amount of Each Receipt this Period | Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation | Aggregate Year-to-Date > \$ |  |
| F. Full Name, Mailing Address and Zip Code   | Name of Employer                                  | Date (month, day, year)     | Amount of Each Receipt this Period |  |                  |                         |                                    |  |            |                             |  |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | Occupation  | Aggregate Year-to-Date > \$ |                                    |  |                  |                         |                                    |  |            |                             |  |
| <table border="1"> <thead> <tr> <th data-bbox="169 1761 826 1796">G. Full Name, Mailing Address and Zip Code</th> <th data-bbox="842 1761 1062 1796">Name of Employer</th> <th data-bbox="1084 1761 1233 1827">Date (month, day, year)</th> <th data-bbox="1306 1761 1521 1827">Amount of Each Receipt this Period</th> </tr> </thead> <tbody> <tr> <td data-bbox="169 1926 826 1966">                             Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br/> <input type="checkbox"/> Other(specify):                         </td> <td data-bbox="842 1891 1062 1926">Occupation</td> <td data-bbox="1084 1949 1233 1980">Aggregate Year-to-Date &gt; \$</td> <td></td> </tr> </tbody> </table> |   |                             |                                    | G. Full Name, Mailing Address and Zip Code | Name of Employer | Date (month, day, year) | Amount of Each Receipt this Period | Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation | Aggregate Year-to-Date > \$ |  |
| G. Full Name, Mailing Address and Zip Code   | Name of Employer                                  | Date (month, day, year)     | Amount of Each Receipt this Period |  |                  |                         |                                    |  |            |                             |  |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):   | Occupation  | Aggregate Year-to-Date > \$ |                                    |  |                  |                         |                                    |  |            |                             |  |

|   |             |
|---|-------------|
| SUBTOTAL of Receipts This Page (optional).....>           | \$5,000.00  |
| TOTAL This Period (last page this line number only).....> | \$13,050.00 |

SCHEDULE A

ITEMIZED RECEIPTS

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

PAGE 1 OF 1

FOR LINE NUMBER 11G

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 Association

| A. Full Name, Mailing Address and Zip Code  | Name of Employer  | Date (month, day, year)     | Amount of Each Receipt this Period |
|---|-------------------|-----------------------------|------------------------------------|
| Dilan Reed Political Action Committee<br>120 Wall Street<br>6th Floor<br>New York NY 10005  | PAC               | 4/8/97                      | \$1,000.00                         |
| Receipt For: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | Occupation<br>PAC | Aggregate Year-to-Date > \$ |                                    |
| B. Full Name, Mailing Address and Zip Code  | Name of Employer  | Date (month, day, year)     | Amount of Each Receipt this Period |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):            | Occupation        | Aggregate Year-to-Date > \$ |                                    |
| C. Full Name, Mailing Address and Zip Code  | Name of Employer  | Date (month, day, year)     | Amount of Each Receipt this Period |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):            | Occupation        | Aggregate Year-to-Date > \$ |                                    |
| D. Full Name, Mailing Address and Zip Code  | Name of Employer  | Date (month, day, year)     | Amount of Each Receipt this Period |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):            | Occupation        | Aggregate Year-to-Date > \$ |                                    |
| E. Full Name, Mailing Address and Zip Code  | Name of Employer  | Date (month, day, year)     | Amount of Each Receipt this Period |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):            | Occupation        | Aggregate Year-to-Date > \$ |                                    |
| F. Full Name, Mailing Address and Zip Code  | Name of Employer  | Date (month, day, year)     | Amount of Each Receipt this Period |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):            | Occupation        | Aggregate Year-to-Date > \$ |                                    |
| G. Full Name, Mailing Address and Zip Code  | Name of Employer  | Date (month, day, year)     | Amount of Each Receipt this Period |
| Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):            | Occupation        | Aggregate Year-to-Date > \$ |                                    |

|   |            |
|---|------------|
| SUBTOTAL of Receipts This Page (optional).....>           | \$1,000.00 |
| TOTAL This Period (last page this line number only).....> | \$1,000.00 |

**SCHEDULE B**

**ITEMIZED DISBURSEMENTS**

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

PAGE 1 OF 3  
FOR LINE NUMBER  
23

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 Association

| A. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
|--|---|-------------------------|---|
| Gophardt in Congress Committee<br>530 7th Street SE<br>Washington, DC 20003  | Dick Gophardt (D-9-MO)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify): | 4/9/97                  | \$ 1,000.00                             |
| B. Full Name, Mailing Address and Zip Code<br>Riley for Congress<br>1212 North Vernon Street<br>Arlington VA 22201     | Bob Riley (R-9-AL)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):     | 4/9/97                  | \$ 500.00                               |
| C. Full Name, Mailing Address and Zip Code<br>Ken Bensten for Congress<br>PO Box 76214<br>Washington, DC 20013-6214    | Ken Bensten (D-TX-25)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):  | 4/9/97                  | \$ 500.00                               |
| D. Full Name, Mailing Address and Zip Code<br>The Judd Gregg Committee<br>PO Box 1812<br>Concord NH 03302              | Judd Gregg (R-NH)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):      | 4/11/97                 | \$ 500.00                               |
| E. Full Name, Mailing Address and Zip Code<br>Nussle for Congress Committee<br>PO Box 324<br>Manchester IA 52057       | Jim Nussle (R-IA-2)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):    | 4/15/97                 | \$ 500.00                               |
| F. Full Name, Mailing Address and Zip Code<br>Barrett for Congress<br>PO Box 40282<br>Washington, DC 20016             | Tom Barrett (D-5-WI)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   | 4/16/97                 | \$ 500.00                               |
| G. Full Name, Mailing Address and Zip Code<br>Ackerman for Congress<br>1845 South Barton Street<br>Arlington, VA 22204 | Gary Ackerman (D-NY-5)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify): | 4/16/97                 | \$ 500.00                               |
| H. Full Name, Mailing Address and Zip Code<br>Boucher for Congress<br>PO Box 17308<br>Arlington, VA 22216              | Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify):                                      |                         | \$ 500.00                               |
| I. Full Name, Mailing Address and Zip Code<br>Stupak for Congress<br>817 Ninth Avenue PO Box 143<br>Manominie MI 49856 | Bart Stupak (D-MI-1)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   | 4/16/97                 | \$ 500.00                               |

**SUBTOTAL of Disbursements This Page (optional)**.....> \$ 5,000.00

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



SCHEDULE B

ITEMIZED DISBURSEMENTS

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

PAGE 2 OF 3  
FOR LINE NUMBER  
29

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 Association

| A. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
|---|---|-------------------------|---|
| John Breaux Senate Committee<br>110 B East Broad Street<br>Falls Church VA 22046                | John Breaux (D-LA)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                  | 4/16/97                 | \$ 1,000.00                             |
| B. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| Bereuter for Congress Committee<br>PO Box 94794<br>Lincoln, NE 68509                            | Doug Bereuter (R-1-NE)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):              | 4/17/97                 | \$ 500.00                               |
| C. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| Montanans for Rick Hill<br>PO Box 1256<br>Helena, MT 59624                                      | Rick Hill (R-MT-AL)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                 | 4/17/97                 | \$ 500.00                               |
| D. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| The Tom DeLay Congressional Committee<br>10707 Corporate Drive Suite 130<br>Stafford TX 77477   | Thomas DeLay (R-22-TX)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):              | 4/28/97                 | \$ 1,000.00                             |
| E. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| Lazio for Congress<br>Windala, Marx, Davies & Ives<br>150 West 56th Street<br>New York NY 10019 | Rick Lazio (R-2-NY)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                 | 4/24/97                 | \$ 1,000.00                             |
| F. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| Wynn For Congress<br>PO Box 5323<br>Capitol Heights MD 20791-5323                               | Al Wynn (D-4-MD)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                    | 4/29/97                 | \$ 500.00                               |
| G. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| Capitol City Brewing Company<br>2 Massachusetts Avenue NE<br>Washington, DC 20002               | Richard E. Neal (D-MA-2)<br>In-KIND<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | 4/18/97                 | \$ 541.10<br>IN-KIND                    |
| H. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| Securities Industry Association<br>1401 I Street NW<br>Washington, DC 20005                     | Richard E. Neal (D-MA-2)<br>IN-KIND<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):            | 4/24/97                 | \$ 83.80                                |
| I. Full Name, Mailing Address and Zip Code  | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period |
| Royce Campaign Committee<br>c/o 104 North Carolina Ave<br>Washington, DC 20003                  | Ed Royce (R-39-CA)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                  | 4/30/97                 | \$ 500.00                               |

SUBTOTAL of Disbursements This Page (optional).....> \$ 5,825.00

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

SCHEDULE B

ITEMIZED DISBURSEMENTS

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

PAGE 3 OF 3

FOR LINE NUMBER  
29

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NAME OF COMMITTEE (in full)

Securities Industry Association

| A. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
|--|--|-------------------------|---|
| Friends of Sherrod Brown<br>Treasurer Dan Harris<br>111 Edgemoor Drive<br>Elyria, OH 44035 | Sherrod Brown (D-13-OH)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):             | 4/30/97                 | \$ 500.00                               |
| B. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
| Richard E. Neal Committee<br>PO Box 2884<br>Washington, DC 20013                           | Richard E. Neal (D-MA-2)<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify):            | 4/24/97                 | \$ 325.72                               |
| C. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
| US Postmaster<br>US Postal Service<br>14th Street NW<br>Washington, DC                     | Richard E. Neal (D-MA-2)<br>IN-Kind<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other (specify): | 4/3/97                  | \$ 32.00<br>In-Kind                     |
| D. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
|  | Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   |                         |   |
| E. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
|  | Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   |                         |   |
| F. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
|  | Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   |                         |   |
| G. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
|  | Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   |                         |   |
| H. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
|  | Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   |                         |   |
| I. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement  | Date (month, day, year) | Amount of Each Disbursement this Period |
|  | Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other (specify):   |                         |   |

SUBTOTAL of Disbursements This Page (optional).....> \$ 857.72

TOTAL This Period (last page this line number only).....> \$ 11,482.72

SCHEDULE B

ITEMIZED DISBURSEMENTS

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

PAGE 1 OF 1  
FOR LINE NUMBER 23

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NAME OF COMMITTEE (In full)  
Securities Industry Association

| A. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement   | Date (month, day, year) | Amount of Each Disbursement this Period (Memo) |
|--|---|-------------------------|--|
| Richard E. Neal Committee<br>PO Box 2884<br>Washington, DC 20013   | Richard E. Neal (D-MA-2)<br>In-Kind<br>Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General<br><input type="checkbox"/> Other(specify): | 4/24/97                 | 17.28*<br>In-Kind                              |
| B. Full Name, Mailing Address and Zip Code<br>*Used committee supplies purchased on 10/3/97 to mail invitations for fundraiser | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |
| C. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |
| D. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |
| E. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |
| F. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |
| G. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |
| H. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |
| I. Full Name, Mailing Address and Zip Code   | Purpose of Disbursement<br>Disbursement for: <input type="checkbox"/> Primary <input type="checkbox"/> General<br><input type="checkbox"/> Other(specify):                        | Date (month, day, year) | Amount of Each Disbursement this Period        |

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

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

Federal Election Commission  
**ENVELOPE REPLACEMENT PAGE  
FOR INCOMING DOCUMENTS**

The Commission has added this page to the end of this filing to indicate how it was received.

Hand Delivered

DATE OF RECEIPT

5-20-97

First Class Mail

POSTMARKED

Registered/Certified Mail

POSTMARKED

No Postmark

Postmark Illegible

Received from the House Office of Records  
and Registration

DATE OF RECEIPT

Received from the Senate Office of Public  
Records

DATE OF RECEIPT

Other (Specify):

POSTMARKED

and/or DATE OF RECEIPT

  
PREPARER

5-20-97  
DATE PREPARED