04/07/2010 11:50

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# **FORM 3X**

FE6AN026

### **REPORT OF RECEIPTS AND DISBURSEMENTS**

_		For C	Other	Than An	Authori	zed Comm	ittee		Office U	se Only		
1.	NAME OF COMMITTEE (in full)			AILING LAE R PRINT 🗑		Example:If typ over the lines	ing, type		• • • • •			
	Securities Industry and Finar	ncial Ma	arkets A	association F	Political Ac	tion Committee	e 					
Ш		1 1										
AD	DRESS (number and street)	110	01 New	York Avenu	e, NW							
	Check if different	8th	Floor		1 1 1			1 1 1				
L	than previously reported. (ACC)	L Wa	ashingto	on 				DC	2	0005		
2.	FEC IDENTIFICATION NUM	IBER	*		CITY 🛦			STATE	<b>\</b>	ZIPCODE	<b>=</b> 🛦	
	C00431312			;	3. IS TH REPC		NEW (N) OR	X	AMENDED (A)			
4.	TYPE OF REPORT (Choose One)		) Mont Repo	ort	Feb 20 (	M2)	May 20 (M5)		Aug 20 (M8)		Nov 20 (M11) (Non-Election Year Only)	
	(a) Quarterly Reports:  April 15 Quarterly Report(Q1) July 15 Quarterly Report(Q2) October 15		Due	X				lun 20 (M6) Sep 2		M9) Dec 20 (M12 (Non-Election Year Only)	Dec 20 (M12) (Non-Election Year Only)	
					Apr 20 (I	M4)	Jul 20 (M7)		Oct 20 (M10)		Jan 31 (YE)	
		rt(Q2) (c) 1	12-Day	Primary (1	12P)	Gei	neral (12G)		Runoff (12R)			
				<b>PRE</b> -Election Report for the		Conventio	on (12C)	Spe	ecial (12G)			
	Quarterly Report(Q January 31	(3)							-	in the		
	Quarterly Report(Y	E)		E	lection on					State of		
	July 31 Mid-Year Report(Non-electio Year Only) (MY)	-election	) (d	Po	30-Day  Post -Election  Report for the:		General (	30G)	Rui	noff (30R)		Special (30S)
	Termination Report (TER)	t		·	Election on					in the State of		
5.	Covering Period 0.2	2	0 1	201	0	throug	h 02	28	2010			
	ertify that I have examined this I				•	lge and belief i	t is true, correct	and com	plete.			
Тур	be or Print Name of Treasurer	_IV	ir. Kenn	eth E. Bents	sen, Jr.							
Sig	nature of Treasurer Electro	nically	Filed by	Mr. Keni	neth E. Be	ntsen, Jr.		Date	04 0	7 2	2010	
NO	TE : Submission of false, erro	neous,	or incor	mplete inforr	mation may	y subject the p	erson signing th	is Report	to the penalties	of 2 U.S.	C 437g.	
	Office Use								ı	FORM ev. 12/2004		

FEC Form 3X (Rev. 02/2003)

### SUMMARY PAGE OF RECEIPTS AND DISRURSEMENTS

OF RECEIPTS AND DISBURSEMENTS

2 / 20

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

	_	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6.	(a) Cash on Hand  January 1 2010 Y Y Y		111977.94
	(b) Cash on Hand at Begining of Reporting Period	112734.14	
	(c) Total Receipts (from Line 19)	22080.09	38766.77
	(d) Subtotal (add lines 6(b) and		
	6(c) for Column A and Lines 6(a) and 6(c) for Column B)	134814.23	150744.71
7.	Total Disbursements (from Line 31)	16501.89	32432.37
8.	Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	118312.34	118312.34
9.	Debts and Obligations owed TO the committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10.	Debts and Obligations owed BY the committee (Itemize all on Schedule C and/or Schedule D)	0.00	

X 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

FEC Form 3X (Rev. 06/2004) 3 / 20

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

м м 0 2 <sup>D</sup> 0 1

Y Y W Y 2 0 1 0

та.

м м 0 2 <sup>D</sup> 28

Y Y Y Y 2 0 1 0

	I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
	contributions (other than loans) From:  a) Individuals/Persons Other		
	Than Political Committees (i) Itemized (use Schedule A)	15577.20	26019.55
	(ii) Unitemized	1001.00	6814.85
	(iii) TOTAL (add Lines 11(a)(i) and (ii)	16578.20	32834.40
(b	o) Political Party Committees	0.00	0.00
(c	c) Other Political Committees (such as PACs)	5000.00	5000.00
	11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	21578.20	37834.40
	ransfers From Affiliated/Other larty Committees	0.00	0.00
3. A	Il Loans Received	0.00	0.00
	oan Repayments Received Offsets To Operating Expenditures	0.00	0.00
(C	Refunds, Rebates, etc.) Carry Totals to Line 37, page 5) defunds of Contributions Made	501.89	932.37
	Federal candidates and Other olitical Committees	0.00	0.00
	Other Federal Receipts Dividends, Interest, etc.)	0.00	0.00
8. T	ransfers from Non-Federal and Levin Funds		
(a	a) Non-Federal Account (from Schedule H3)	0.00	0.00
(b	b) Levin Funds (from Schedule H5)	0.00	0.00
(c	c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
	otal Receipts (add Lines 11(d), 2, 13, 14, 15, 16, 17, and 18(c))	22080.09	38766.77
	otal Federal Receipts ubtract Line 18(c) from Line 19)	22080.09	38766.77

### **DETAILED SUMMARY PAGE**

FEC Form 3X (Rev. 02/2003)

of Disbursements

4 / 20

	II. DISBURSEMENTS	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21.	Operating Expenditures:  (a) Shared Federal/Non-Federal		
	Activity (from Schedule H4)	0.00	0.00
	(i) Federal Share		
	(ii) Non-Federal Share	0.00	0.00
	(b) Other Federal Operating	501.89	932.37
	Expenditures(c) Total Operating Expenditures	301.09	902.07
	(add 21(a)(i), (a)(ii) and (b))	501.89	932.37
22.	Transfers to Affiliated/Other Party	0.00	0.00
23.	Contributions to	0.00	0.00
	Federal Candidates/Committeesand Other Political Committees	16000.00	31500.00
24.	Independent Expenditure	0.00	0.00
25.	(use Schedule E)		0.00
	Committees (2 U.S.C. 441a(d)) (use Schedule F)	0.00	0.00
26.	Loan Repayments Made	0.00	0.00
7	Loans Made	0.00	0.00
	Refunds of Contributions To:	0.00	0.00
	(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
	(add Lines 20(a), (b), and (c))		
29.	Other Disbursements	0.00	0.00
30.	Federal Election Activity (2 U.S.C 431(20))		
	(a) Shared Federal Election Activity		
	(from Schedule H6)	0.00	0.00
	(i) Federal Share		
	(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	0.00	0.00
	Lines 30(a)(i), 30(a)(ii) and 30(b))	0.00	0.00
81.	Total Disbursements (add Lines 21(c), 22,		
	23, 24, 25, 26, 27, 28(d), 29 and 30(c))	16501.89	32432.37
32.	Total Federal Disbursements		
	(subtract Line 21(a)(ii) and Line 30(a)(ii)		
	from Line 31)	16501.89	32432.37

### **DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003) 5 / 20

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)	21578.20	37834.40
44. Total Contribution Refunds (from Line 28(d))	0.00	0.00
5. Net Contributions (other than loans) (subtract Line 34 from Line 33)	21578.20	37834.40
66. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	501.89	932.37
7. Offsets to Operating Expenditures (from Line 15, page 3)	501.89	932.37
38. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	0.00

FE6AN026

	CHEDULE A (FEC Form 3X) EMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 6 / 20 (check only one)    X
A	ny information copied from such Reports and for commercial purposes, other than using the	Statements ma	y not be sold or used by any persodress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full)  Securities Industry and Financial Ma	tee		
<u>/_</u>	Full Name (Last, First, Middle Initial) Mr. Michael F. Imhoff			Date of Receipt
	Mailing Address 2075 Cherryville Roa	d		M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 17966097
	Greenwood Village	CO	80121-1508	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer Stifel, Nicolaus & Compan-	Occupatio	n g Director	
	y, Incorporat Receipt For:	<del>- '</del>	e Year-to-Date	$\dashv$
	Primary General Other (specify) ▼	Aggregate	500.00	Contribution
	Full Name (Last, First, Middle Initial) Ms. Loren Bushkar			Date of Receipt
	Mailing Address 141 E. 89th Street Apt. 9H		M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y	
	City	State	Zip Code	Transaction ID: 17966099
	New York	NY	10128-2318	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		1000.00
	Name of Employer Securities Industry and Financial Mark	Occupatio Vice Pre		
	Receipt For:	Aggregate	e Year-to-Date 🔻	
	Primary General Other (specify) ▼		1000.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Thomas M. Joyce			Date of Receipt
	Mailing Address 142 Goodwives River		02 16 2010	
	City	State	Zip Code	Transaction ID: 18006890
	<u>Darien</u>	CT	06820-5807	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.  Name of Employer Knight Capital Group  Occupation Chairman			5000.00
			n and CEO	
	Receipt For:	Aggregate	e Year-to-Date 🔻	
	Primary General Other (specify) ▼		5000.00	Contribution
				6500.00

	CHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 7 / 20 (check only one)    X	
A 0	ny information copied from such Reports and r for commercial purposes, other than using th	Statements ma e name and ad	y not be sold or used by any persodress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.	
	NAME OF COMMITTEE (In Full)  Securities Industry and Financial Mar	tee			
	Full Name (Last, First, Middle Initial) Mr. William E. Dwyer, III			Date of Receipt	
	Mailing Address 9 Gina Way	02 16 2010			
	City <u>Boxford</u>	State MA	Zip Code 01921-2732	Transaction ID: 18006893  Amount of Each Receipt this Period	
	FEC ID number of contributing federal political committee.	С		5000.00	
	Name of Employer LPL Financial	Occupation Presiden			
	Receipt For:  Primary General  Other (specify) ▼		e Year-to-Date ▼ 5000.00	Contribution	
	Full Name (Last, First, Middle Initial) Mr. Christopher R. Wilkinson			Date of Receipt	
	Mailing Address 26 Warren Ave	0 2 1 8 2 0 1 0			
	City	State	Zip Code	Transaction ID: 18008455	
	Plymouth MA		02360-2444	Amount of Each Receipt this Period	
	FEC ID number of contributing federal political committee.	C		250.00	
	Name of Employer Janney Montgomery Scott LLC	Occupation Senior V	n .P., Regional Manager		
	Receipt For:	Aggregate	e Year-to-Date ▼		
	Primary General Other (specify) ▼	0 0	250.00	Contribution	
_	Full Name (Last, First, Middle Initial) Mr. Christopher J. Munafo	1		Date of Receipt	
	Mailing Address 123 Westmont Ave	02 18 2010			
	City	State	Zip Code	Transaction ID: 18008456	
	<u>Haddonfield</u>	NJ	08033-2318	Amount of Each Receipt this Period	
	FEC ID number of contributing federal political committee.	C		500.00	
	Name of Employer Janney Montgomery Scott LLC	<del>- '</del>	ector Private Client Group Ad	dmi	
	Receipt For:  Primary General  Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution	
Г		1		5750.00	

	SCHEDULE A (FEC Form 3X) TEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 8 / 20 (check only one)  X 11a 11b 11c 12  13 14 15 16 11
,	Any information copied from such Reports and or for commercial purposes, other than using the	Statements may ne e name and addre	ot be sold or used by any pers ss of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full)  Securities Industry and Financial Mar	kets Associatio	n Political Action Commit	tee
	Full Name (Last, First, Middle Initial) Mr. Timothy C. Scheve			Date of Receipt
	Mailing Address 410 South 21st Street		7'n Oada	02 18 2010
	City Philadelphia	State PA	Zip Code 19146-1239	Transaction ID: 18008623
	FEC ID number of contributing federal political committee.	C	19140-1239	Amount of Each Receipt this Period  1000.00
	Name of Employer Janney Montgomery Scott LLC	Occupation President a	and CEO	
	Receipt For:  Primary General  Other (specify) ▼	Aggregate Yo	ear-to-Date ▼ 1000.00	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Scott Aschoff			Date of Receipt
	Mailing Address 621 Chester Ave	02 23 2010		
	City State		Zip Code	Transaction ID: 18012314
	Moorestown  FEC ID number of contributing federal political committee.	C	08057-1901	Amount of Each Receipt this Period 500.00
	Name of Employer Janney Montgomery Scott LLC	Occupation Chief Opera	ating Officer	
	Receipt For:  Primary General  Other (specify) ▼	Aggregate Yo	ear-to-Date ▼ 500.00	Contribution
_	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley			Date of Receipt
	Mailing Address 8424 Frost Way			0 2 1 2 2 0 1 0
	City	State	Zip Code	Transaction ID: 18012788
	Annandale  FEC ID number of contributing federal political committee.	C	22003-2221	Amount of Each Receipt this Period  96.20
	Name of Employer Securities Industry and Financial Mark	Occupation Managing [	Director	
	Receipt For:  Primary General  Other (specify) ▼	Aggregate Ye	ear-to-Date ▼ 288.60	Contribution
	SUBTOTAL of Receipts This Page (optional) .	1		1596.20

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 9 / 20 (check only one)    X
Any information copied from such Reports and S or for commercial purposes, other than using th NAME OF COMMITTEE (In Full)	e name and add	dress of any political committee to	o solicit contributions from such committee.
Securities Industry and Financial Mar	kets Associa	tion Political Action Commit	tee
Full Name (Last, First, Middle Initial) Ms. Margaret Simmons			Date of Receipt
Mailing Address 4743 Bradley Blvd. Number 304			02 12 2010
City	State	Zip Code	Transaction ID: 18012790
Chevy Chase	MD	20815	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		96.20
Name of Employer Securities Industry and Financial Mark	Occupation Manangi	n ng Director	
Receipt For:	Aggregate	e Year-to-Date ▼	
Primary General Other (specify) ▼	0 0	288.60	Contribution
Full Name (Last, First, Middle Initial) Mr. Kenneth E. Bentsen, Jr.			Date of Receipt
Mailing Address 1101 New York Ave, I 8th Floor	NW		02 12 2010
City	State	Zip Code	Transaction ID: 18012798
Washington	DC	20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C		192.35
Name of Employer Securities Industry and Financial Mark	Occupation EVP, Pul	n blic Policy and Advocacy	
Receipt For:  Primary General	Aggregate	e Year-to-Date ▼	
Other (specify)		577.05	Contribution
Full Name (Last, First, Middle Initial) Mr. Carter McDowell			Date of Receipt
Mailing Address 1101 New York Ave, I 8th Floor			0 2 1 2 2 0 1 0
City	State	Zip Code	Transaction ID: 18012801
Washington	DC	20005-4269	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С		100.00
Name of Employer Securities Industry and Financial Mark		lanaging Director	
Receipt For:	Aggregate	e Year-to-Date ▼	
Primary ☐ General Other (specify) ▼	0 0	300.00	Contribution
	1		388.55

	CHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 10 / 20 (check only one)    X
A 0	ny information copied from such Reports and S r for commercial purposes, other than using the	Statements made and add	y not be sold or used by any person dress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full)  Securities Industry and Financial Mar	kets Associa	tion Political Action Commit	tee
۸.	Full Name (Last, First, Middle Initial) Mr. Samuel C. Doyle			Date of Receipt
	Mailing Address 1600 Broadway Suite 1100			02 25 25 2010
	City	State	Zip Code	Transaction ID: 18055242
	Denver	CO	80202-4922	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		500.00
	Name of Employer D.A. Davidson & Company	Occupatio Presiden	n t, Fixed Income Capital Mar	ket
	Receipt For:  Primary General  Other (specify) ▼	Aggregate	e Year-to-Date ▼ 500.00	Contribution
	Full Name (Last, First, Middle Initial) Mr. Mark A. Froio			Date of Receipt
	Mailing Address 5330 90th Avenue SE	02 / 25 / Y Y Y Y Y		
	City	State WA	Zip Code	Transaction ID: 18056426
	Mercer Island  FEC ID number of contributing federal political committee.	C	98040-4714	Amount of Each Receipt this Period 300.00
	Name of Employer D.A. Davidson & Company	Occupatio VP-Fixed		
	Receipt For:  Primary General  Other (specify) ▼	Aggregate	e Year-to-Date ▼ 300.00	Contribution
	Full Name (Last, First, Middle Initial) Ms Elizabeth Varley			Date of Receipt
	Mailing Address 8424 Frost Way			M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
	City	State	Zip Code	Transaction ID: 18086068
	Annandale  FEC ID number of contributing federal political committee.	C	22003-2221	Amount of Each Receipt this Period  96.20
	Name of Employer Securities Industry and Financial Mark	, i – –	g Director	
	Receipt For:  Primary  General  Other (specify)	Aggregate	e Year-to-Date ▼ 384.80	Contribution
Г	SUBTOTAL of Receipts This Page (optional) .			896.20

	SCHEDULE A (FEC Form 3X) FEMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 11 / 20 (check only one)    X   11a
A	ny information copied from such Reports and r for commercial purposes, other than using the	Statements mane name and ad	y not be sold or used by any perso dress of any political committee to	on for the purpose of soliciting contributions o solicit contributions from such committee.
	NAME OF COMMITTEE (In Full) Securities Industry and Financial Ma	tee		
Ľ	Full Name (Last, First, Middle Initial) Ms. Margaret Simmons			Date of Receipt
	Mailing Address 4743 Bradley Blvd. Number 304			02 26 2010
	City Chevy Chase	State MD	Zip Code 20815	Transaction ID: 18086069  Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C	20013	96.20
	Name of Employer Securities Industry and Financial Mark Receipt For:  ☐ Primary ☐ General ☐ Other (specify) ▼		ng Director e Year-to-Date ▼ 384.80	Contribution
_	Full Name (Last, First, Middle Initial) Mr. Kenneth E. Bentsen, Jr.			Date of Receipt
	Mailing Address 1101 New York Ave, 8th Floor	02 26 2010		
	City State Zip Code			Transaction ID: 18086073
	Washington	DC	20005-4269	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		192.35
	Name of Employer Securities Industry and Financial Mark	Occupation EVP, Pu	n blic Policy and Advocacy	
	Receipt For:	Aggregate	e Year-to-Date ▼	
	Primary General Other (specify) ▼		769.40	Contribution
_	Full Name (Last, First, Middle Initial) Marin E. Gibson			Date of Receipt
	Mailing Address 796 Port Monmouth	0 2 2 6 Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y		
	City	State	Zip Code	Transaction ID: 18086074
	Port Monmouth	NJ	07758-1676	Amount of Each Receipt this Period
	Thanbar Wark			57.70
			g Director & Counsel	
	Receipt For:  Primary General  Other (specify) ▼	Aggregate	e Year-to-Date ▼ 230.80	Contribution
Γ	SUBTOTAL of Receipts This Page (optional)			346.25

	CHEDULE A (FEC Form 3X) EMIZED RECEIPTS		Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 12 / 20 (check only one)  X 11a 11b 11c 12 12 15 16 17
	y information copied from such Reports and State for commercial purposes, other than using the na			
$\sqrt{}$	NAME OF COMMITTEE (In Full)			
/	Securities Industry and Financial Markets	s Associa	tion Political Action Committe	<del>9</del> e
	Full Name (Last, First, Middle Initial) Mr. Carter McDowell			Date of Receipt
	Mailing Address 1101 New York Ave, NW 8th Floor			02 26 7 2010
	City	State	Zip Code	Transaction ID: 18086075
	Washington	DC	20005-4269	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	C		100.00
	Name of Employer Securities Industry and Financial Mark	Occupation Senior M	n anaging Director	
	Receipt For:  Primary  General  Other (specify) ▼		e Year-to-Date ▼ 400.00	Contribution

SUBTOTAL of Receipts This Page (optional)	<b>&gt;</b>	100.00
TOTAL This Period (last page this line number only)	<b>•</b>	15577.20

A.

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 13 / 20 (check only one)  11a 11b X 11c 12  13 14 15 16 17
Any information copied from such Reports and St or for commercial purposes, other than using the	atements may not be sold or used by any personame and address of any political committee to	on for the purpose of soliciting contributions solicit contributions from such committee.
NAME OF COMMITTEE (In Full) Securities Industry and Financial Mark	ets Association Political Action Committ	ee
Full Name (Last, First, Middle Initial) The Goldman Sachs Group, Inc. PAC Mailing Address 101 Constitution Ave. N	NW	Date of Receipt
Suite 1000 East	State Zip Code	0 2 1 9 2 0 1 0 Transaction ID: 18012904
<u>Washington</u>	DC 20001	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	<b>C</b> C00350744	5000.00
Name of Employer	Occupation	
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	Contribution

SUBTOTAL of Receipts This Page (optional)	<b>•</b>	5000.00
TOTAL This Period (last page this line number only)	<b>•</b>	5000.00

A.

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 14 / 20 (check only one)  11a 11b 11c 12  13 14 X 15 16 17
Any information copied from such Reports and Sta or for commercial purposes, other than using the results of the state of the such as the such as the state of the such as the		
NAME OF COMMITTEE (In Full) Securities Industry and Financial Marke	tee	
Full Name (Last, First, Middle Initial) Securities Industry and Financial Markets Associat Mailing Address 120 Broadway Floor 35	tion	Date of Receipt  M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 18020454
New York  FEC ID number of contributing federal political committee.	NY 10271	Amount of Each Receipt this Period 501.89
Name of Employer  Receipt For:  Primary General  Other (specify) ▼	Occupation  Aggregate Year-to-Date ▼  932.37	Bank Fee Reimbursement

SUBTOTAL of Receipts This Page (optional)	<b>&gt;</b>	501.89
TOTAL This Period (last page this line number only)	<b>•</b>	501.89

В.

C.

• Use separate schedule(s) I / all all					NE NUMBER: PAGE 15 / 20 only one)											
ITEMIZED DISBURSEMENTS		ategory of the Summary Page		X	-		22 [ 28a [	_	23 28b	24 28c		25 29	26 30b			
Any Information copied from such Reports and Statem					persor	n for t	he pur	pos	e of s	oliciting c		butions				
or for commercial purposes, other than using the name  NAME OF COMMITTEE (In Full)	e and addres	s of any political	comr	mı	ttee to s	SOIICIT	Contrik	outio	ons ire	om such (	COMI	nittee				
Securities Industry and Financial Markets A	Associatior	n Political Acti	on C	o	mmitte	ее										
Full Name (Last, First, Middle Initial) PNC Bank							Date of	f Dis	sburse							
Mailing Address 1400 K Street, NW						$\begin{array}{c ccccccccccccccccccccccccccccccccccc$										
•	State DC	Zip Code 20005				,	Amoun	t of	Each	Disburse	-					
Purpose of Disbursement Bank Fees				00	11				_		.3	67.91				
Candidate Name			Cat	ite	gory/ pe											
Senate President	ment For: Primary Other (spec	General ♥				E	Bank F	-ee	s							
State: District:  Full Name (Last, First, Middle Initial)						+ ,	Tuamaa		ID:	17000	)EO/	1				
PNC Bank							Date of			: 17993 ement	359 <sup>2</sup>	ł				
Mailing Address 1400 K Street, NW							0 <sup>M</sup> 2 M	1 /	<sup>D</sup> 0	2 /	Ź	010	) <sup>Y</sup>			
•	State DC	Zip Code 20005				1	Amoun	it of	Each	Disburse	mer	nt this F	Period			
Washington Purpose of Disbursement Bank Fees	БС	20005		00	11							4.95				
Candidate Name			Cat	ite	gory/ pe											
Office Sought:  Senate  President  State:  Disburse	ment For: Primary Other (spec	General			<u>'</u>	E	Bank F	-ee	s							
Full Name (Last, First, Middle Initial)						١,	Transa	ctio	on ID:	17993	3596	3				
PNC Bank							Date of	f Dis	sburse	ement						
Mailing Address 1400 K Street, NW							0 2		<sup>D</sup> 0	2 /	2	010	) <sup>*</sup>			
	State DC	Zip Code 20005				,	Amoun	t of	Each	Disburse	-					
Purpose of Disbursement Bank Fees				00	)1			-				27.60	)			
Candidate Name			Cat	ite	gory/ pe											
Office Sought: House Disburse Senate President	ment For: Primary Other (spec	General				E	Bank F	-ee	s							
State: District:	-															
SUBTOTAL of Disbursements This Page (optional) .					<u> </u>			0			4	00.46				

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

В.

President

District:

ige# 10330430000			
SCHEDULE B (FEC Form 3X)	FOR LINE	NUMBER: PAGE 16 / 20 y one)	
TEMIZED DISBURSEMENTS	for each category of the Detailed Summary Page	X 21b 27	22 23 24 25 26 28a 28b 28c 29 30b
Any Information copied from such Reports and State or for commercial purposes, other than using the nan			
NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets	Association Political Acti	on Committee	<b>;</b>
Full Name (Last, First, Middle Initial) PNC Bank Mailing Address 1400 K Street, NW			Transaction ID: 17993597 Date of Disbursement
City Washington	State Zip Code DC 20005		Amount of Each Disbursement this Period
Purpose of Disbursement Bank Fees Candidate Name		001 Category/ Type	32.32
Office Sought: House Disburs Senate President State: District:	sement For: Primary General Other (specify) ▼		Bank Fees
Full Name (Last, First, Middle Initial) PNC Bank			Transaction ID: 17993598 Date of Disbursement
Mailing Address 1400 K Street, NW			02 2010
City Washington	State Zip Code DC 20005		Amount of Each Disbursement this Period
Purpose of Disbursement Bank Fees		001	69.11
Candidate Name		Category/ Type	
Office Sought: House Disburs Senate	sement For: Primary General		Bank Fees

SUBTOTAL of Disbursements This Page (optional)	<b>&gt;</b>	101.43
TOTAL This Period (last page this line number only)	<b>•</b>	501.89

Other (specify)

State:

TEMPER BIODURGEMENTS		Use separate schedule(s	3)		neck only	= NUMBER: PAGE 17/20 lly one)							
	EMIZED DISBURSEMENTS	for each category of the Detailed Summary Page		$\dot{\Box}$	21b 27	22 28a	Х	23 28b		24 28c	2:	9	20
	y Information copied from such Reports and State for commercial purposes, other than using the national NAME OF COMMITTEE (In Full)	me and address of any politic	al com	nmitt	ee to sol	icit contr							
V	Securities Industry and Financial Market	s Association Political Ac	tion C	onر	nmittee								
•	Full Name (Last, First, Middle Initial) Pennsylvanians For Kanjorski  Mailing Address 103 South Hanover St	eet						sburs				1 0 °	
	City Nanticoke	State Zip Code PA 18634				Amou	ınt of	Each	Disb	ursen	nent th	is Pe	riod
	Purpose of Disbursement Contribution Candidate Name		Ca	01 ateg	ory/		•				5000	.00	
	Rep. Paul E. Kanjorski  Office Sought: X House Senate President  State: PA District: 11	rsement For: 2010  X Primary General Other (specify) ▼	<u> </u>	Тур	e	Contr	ibuti	ion					
	Full Name (Last, First, Middle Initial) BadgerPAC  Mailing Address 1831 Bay Street, SE							sburs	_			Ý 0 Ý	
	City Washington Purpose of Disbursement Contribution	State Zip Code DC 20003		01	1	Amou	int of	Each	Disb		nent th		riod
	Candidate Name BadgerPAC  Office Sought: House Disbute Senate President  State: District:	rsement For: Primary General Other (specify)	1	ateg Typ	,	Contr	ibuti	ion					
	Full Name (Last, First, Middle Initial) Ruben Hinojosa For Congress					Trans Date		sburs	emen			Y Y	
	Mailing Address 502 North 11th Street					0 2		2	2 4		20	10	
	City Mcallen	State Zip Code TX 78501				Amou	int of	Each	Disb	ursen	nent th	is Pe	riod
	Purpose of Disbursement Contribution				1	L.					1000	.00	-
					ory/ e								
	Office Sought:  X House Senate President  State: TX District: 15	zsement For: 2010  X Primary General Other (specify)	1	31.		Contr	ibuti	ion					
	2.00.100.70												_

	CHEDULE B (FEC FOIII 3X)	Use separate schedule(s	)		eck only		NUMBER: PAGE 18 / 20 one)				
	EMIZED DISBURSEMENTS	for each category of the Detailed Summary Page		À	21b 27	22 28a	X 23 28b	24 280		25 29	
	/ Information copied from such Reports and State or commercial purposes, other than using the na										
K	NAME OF COMMITTEE (In Full)	, , , , , , , , , , , , , , , , , , ,									
	Securities Industry and Financial Markets	Association Political Act	ion (	Com	mittee	)					
	Full Name (Last, First, Middle Initial)							: 1801	8969		
	Matheson For Congress						Disburs		Y Y	Y	Υ
	Mailing Address P O Box 521048 Suite A					0 2		24 /	2	0 1 O	_
	City Salt Lake City	State Zip Code UT 84152				Amour	t of Eacl	n Disburs	ement	this Pe	erioc
	Purpose of Disbursement	002			-				100	00.00	
	Contribution		-	011							
	Candidate Name Rep. James D. Matheson			atego Type	- 1						
	X	sement For: 2010  K Primary General				Contril	oution				
	President	Other (specify)									
	State: UT District: 02										
	Full Name (Last, First, Middle Initial)							: 1801	8970		
	Dave Wu For Us Congress					Date of	Disburs		Y Y	Y	Υ
	Mailing Address 818 Sw Third Ave. #1182					0 2		24	2	0 Ĭ 0	
	City Portland	State Zip Code OR 97204				Amour	t of Eacl	n Disburs	ement	this Pe	erio
	Purpose of Disbursement								100	00.00	
	Contribution Condidate Name		-	011 atego							
	Candidate Name Rep. David Wu										
	9 7	sement For: 2010				Contril	oution				
	Senate President	<ul><li>✓ Primary General</li><li>Other (specify) ▼</li></ul>									
	State: OR District: 01	Other (apeciny)									
	Full Name (Last, First, Middle Initial) Allyson Schwartz For Congress						ction ID	: 1801	8971		
	Mailing Address P.O. Box 2232					0 2 M		2 4 /	y y 2	0 1 0	Υ
		7'- 0-4-									
	City Jenkintown	State Zip Code PA 19046				Amour	t of Eacl	n Disburs			erio
	Purpose of Disbursement Contribution			011					100	00.00	_
	Candidate Name			011 atego							
	Rep. Allyson Y. Schwartz			Туре							
	v A	sement For: 2010  X Primary General  Other (specify)				Contril	oution				
	State: PA District: 13	·									
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SCHEDULE B (FEC Form 3X)	Use separate schedule(s	1 -	IE NUMBER: PAGE 19 / 20							
TEMIZED DISBURSEMENTS	for each category of the Detailed Summary Page	21b	only one)  22   X   23   24   25   1							
	, ,	27	28a 28b 28c 29							
Any Information copied from such Reports and Stater or for commercial purposes, other than using the nam										
NAME OF COMMITTEE (In Full)	71									
Securities Industry and Financial Markets	Association Political Ac	tion Commit	tee							
Full Name (Last, First, Middle Initial)			Transaction ID: 18018972							
Friends Of Jeb Hensarling			Date of Disbursement							
Mailing Address PO Box 820504			$\begin{array}{c ccccccccccccccccccccccccccccccccccc$							
City Dallas	State Zip Code TX 75382		Amount of Each Disbursement this Period							
Purpose of Disbursement			1000.00							
Contribution Candidate Name		011								
Rep. Jeb Hensarling		Category/ Type								
	ement For: 2010	•	Contribution							
Senate X President	Primary General Other (specify) ▼									
State: TX District: 05	Ctrici (Specify)									
Full Name (Last, First, Middle Initial)			Transaction ID: 18018974							
Mchenry For Congress		Date of Disbursement								
Mailing Address PO Box 1406			$\begin{array}{c ccccccccccccccccccccccccccccccccccc$							
City Hickory	State Zip Code NC 28603		Amount of Each Disbursement this Perio							
Purpose of Disbursement	110 2000		1000.00							
Contribution	011									
Candidate Name Rep. Patrick Timothy McHenry		Category/ Type								
Office Sought: X House Disburs	ement For: 2010	1 "	Contribution							
	Primary General		Contribution							
State: NC District: 10	Other (specify)									
Full Name (Last, First, Middle Initial)			Transaction ID: 18018975							
John Campbell For Congress			Date of Disbursement  0 2 4 2 0 1 0							
Mailing Address 4590 Macarthur Bouleva Suite 500										
City Newport Beach	State Zip Code CA 92660		Amount of Each Disbursement this Perio							
Purpose of Disbursement Contribution		011	1000.00							
Candidate Name Rep. John Campbell		Category/ Type	1							
	ement For: 2010	I spe	<b>⊣</b>							
Senate	Primary General		Contribution							
President	Other (specify)									
State CA District: 48 I										
State: CA District: 48  SUBTOTAL of Disbursements This Page (optional)			3000.00							

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<b>IT</b>	CHEDULE B (FEC Form 3) EMIZED DISBURSEMENT  y Information copied from such Reports an for commercial purposes, other than using	S for each Detailed and Statements may n		(check online) 21b 27 by any person	22 X 23 24 25 26 28a 28b 28c 29 30b for the purpose of soliciting contributions
$\left. \right\rangle$	NAME OF COMMITTEE (In Full) Securities Industry and Financial M	larkets Associatio	on Political Actio	n Committee	
	Full Name (Last, First, Middle Initial) Chris Lee For Congress  Mailing Address PO Box 15395				Transaction ID: 18018977 Date of Disbursement
	City Rochester Purpose of Disbursement Contribution Candidate Name Rep. Christopher John Lee Office Sought: X House	State NY	Zip Code 14615	011 Category/ Type	Amount of Each Disbursement this Period 1500.00
	Senate President State: NY District: 26	X Primary Other (spe	General ecify) ▼		Contribution

SUBTOTAL of Disbursements This Page (optional)	<b>•</b>	1500.00
TOTAL This Period (last page this line number only)	<u> </u>	16000.00