

**FEC  
FORM 3X**

**REPORT OF RECEIPTS  
AND DISBURSEMENTS**  
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) **USE FEC MAILING LABEL OR TYPE OR PRINT** Example: If typing, type over the lines  
 Securities Industry Association Political Action Committee

ADDRESS (number and street) **Check if different than previously reported. (ACC)**  
 1401 Eye Street, NW  
 Suite 1000  
 Washington DC 20005

2. **FEC IDENTIFICATION NUMBER** C00067504  
**CITY** **STATE** **ZIP CODE**  
 3. **IS THIS REPORT**  **NEW (N)** **OR** **AMENDED (A)**

4. **TYPE OF REPORT (Choose One)**  
 (a) Quarterly Reports:  
 April 15 Quarterly Report (Q1)  Feb 20 (M2) May 20 (M5) Aug 20 (M8) Nov 20 (M11) (Non-Election Year Only)  
 July 15 Quarterly Report (Q2) Mar 20 (M3) Jun 20 (M6) Sep 20 (M9) Dec 20 (M12) (Non-Election Year Only)  
 October 15 Quarterly Report (Q3) Apr 20 (M4) Jul 20 (M7) Oct 20 (M10) Jan 31 (M13)  
 January 31 Quarterly Report (YE) Election on \_\_\_\_\_ in the State of \_\_\_\_\_  
 July 31 Mid-Year Report (Non-election Year Only) (MY) (c) 12-Day **PRE**Election Report for the: Primary (12P) General (12G) Runoff (12R)  
 Termination Report (TER) (d) 30-Day **Post**-Election Report for the: Convention (12C) Special (12S) General (30G) Runoff (30R) Special (30S)  
 Election on \_\_\_\_\_ in the State of \_\_\_\_\_

5. Covering Period 01 01 2002 through 01 31 2002

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 J. Steven Judge  
 Signature of Treasurer Electronically Filed by J. Steven Judge Date 02 13 2002

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

**SUMMARY PAGE  
OF RECEIPTS AND DISBURSEMENTS**

FEC Form 3X (Revised 1/2001)

Page 2

Write or Type Committee Name  
Securities Industry Association Political Action Committee

Report Covering the Period: From: <sup>h</sup> 0 1 <sup>D</sup> 0 1 <sup>v</sup> / <sup>v</sup> 2 0 0 2 To: <sup>h</sup> 0 1 <sup>D</sup> 3 1 <sup>v</sup> / <sup>v</sup> 2 0 0 2

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1 <sup>v</sup> / <sup>v</sup> 2 0 0 2		65123.18
(b) Cash on Hand at Beginning of Reporting Period .....	65123.18	
(c) Total Receipts (from Line 19) .....	250.00	250.00
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B) .....	65373.18	65373.18
7. Total Disbursements (from Line 30) .....	8566.81	8566.81
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	56806.37	56806.37
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	

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 (Revised 1/2001)

Page 3

Write or Type Committee Name

Securities Industry Association Political Action Committee

Report Covering the Period: From: <sup>W</sup> 0 1 <sup>D</sup> 0 1 <sup>Y</sup> 2 0 0 2 To: <sup>W</sup> 0 1 <sup>D</sup> 3 1 <sup>Y</sup> 2 0 0 2

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) .....	250.00	
(ii) Unitemized .....	0.00	
(iii) TOTAL (add Lines 11(a)(i) and (ii) .....	250.00	250.00
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs) .....	0.00	0.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 32, page 4) .....	250.00	250.00
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 36, page 4) .....	0.00	0.00
16. Refunds of Contributions Made to Federal candidates and Other Political Committees .....	0.00	0.00
17. Other Federal Receipts (Dividends, Interest, etc.) .....	0.00	0.00
18. Transfers from Nonfederal Account for Joint Activity .....	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18) .....	250.00	250.00
20. Total Federal Receipts (subtract Line 18 from Line 19) .....	250.00	250.00

**DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Revised 1/2001)

Page 4

II. DISBURSEMENTS	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Shared Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share.....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures.....	66.81	66.81
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ▶	66.81	66.81
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	8500.00	8500.00
24. Independent Expenditure (use Schedule E).....	0.00	0.00
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees.....	0.00	0.00
(b) Political Party Committees.....	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c))..... ▶	0.00	0.00
29. Other Disbursements.....	0.00	0.00
30. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), and 29)..... ▶	8566.81	8566.81
31. Total Federal Disbursements (subtract Line 21(a)(ii) from Line 30)..... ▶	8566.81	8566.81
<hr/>		
III. Net Contributions/Operating Expenditures		
32. Total Contributions (other than loans) from Line 11(d), page 3).....	250.00	250.00
33. Total Contribution Refunds (from Line 28(d)).....	0.00	0.00
34. Net Contributions (other than loans) (subtract Line 33 from Line 32).....	250.00	250.00
35. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))..... ▶	66.81	66.81
36. Offsets to Operating Expenditures (from Line 15, page 3).....	0.00	0.00
37. Net Operating Expenditures (subtract Line 36 from Line 35)..... ▶	66.81	66.81

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

Use separate schedule(s) or each category of the Detailed Summary Page	FOR LINE NUMBER: (check only one)				PAGE 5 / 6
	<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 Association Political Action Committee

Full Name (Last, First, Middle Initial)  
A. Ms Gail Uter

Date of Receipt  
M M / D D / Y Y Y Y  
01 / 04 / 2002

Mailing Address  
2610 Shenandoah Circle

City State Zip Code  
Sherman TX 75092-7650

FEC ID number of contributing federal political committee. Amount of Each Receipt this Period  
250.00

Name of Employer A.G. Edwards & Sons, Inc.	Occupation Senior VP Investments
---	-------------------------------------

Receipt For: Aggregate Year-to-Date ▼  
 Primary General  
 Other (specify) ▼ 250.00

Transaction ID: 5723338

B.

C.

<b>SUBTOTAL</b> of Receipts This Page (optional) .....	▶	<b>250.00</b>
<b>TOTAL</b> This Period (last page this line number only) .....	▶	<b>250.00</b>

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

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

FOR LINE NUMBER:  
(check only one)

PAGE 6 / 6

<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

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

Full Name (Last, First, Middle Initial) <b>A. Republican Majority Fund</b>		Date of Disbursement 01 / 02 / 2002	
Mailing Address 1155 21st Street NW Suite 300 City State Zip Code Washington DC 20036		Amount of Each Disbursement this Period 5000.00	
Purpose of Disbursement YTD:\$5,000.00 Leadership PAC Contributio Candidate Name		011 Category/ Type	
Office Sought: House Senate President	Disbursement For: 2002 <input checked="" type="checkbox"/> Primary      General Other (specify) ▼	Leadership PAC Contributi- on	
State:            District: 0	Transaction ID: 5723318		

Full Name (Last, First, Middle Initial) <b>B. The Lone Star Fund</b>		Date of Disbursement 01 / 23 / 2002	
Mailing Address P.O. Box 4219 City State Zip Code Dallas TX 75208		Amount of Each Disbursement this Period 1000.00	
Purpose of Disbursement YTD:\$1,000.00 Leadership PAC Contributio Candidate Name		011 Category/ Type	
Office Sought: House Senate President	Disbursement For: 2002 <input checked="" type="checkbox"/> Primary      General Other (specify) ▼	Leadership PAC Contributi- on	
State:            District: 0	Transaction ID: 5723313		

Full Name (Last, First, Middle Initial) <b>C. Together for Our Majority PAC (TOMPAC)</b>		Date of Disbursement 01 / 25 / 2002	
Mailing Address P.O. Box 16458 City State Zip Code Arlington VA 22215		Amount of Each Disbursement this Period 2500.00	
Purpose of Disbursement YTD:\$2,500.00 Leadership PAC contributio Candidate Name		011 Category/ Type	
Office Sought: House Senate President	Disbursement For: 2002 <input checked="" type="checkbox"/> Primary      General Other (specify) ▼	Leadership PAC contributi- on	
State:            District: 0	Transaction ID: 5723304		

<b>SUBTOTAL</b> of Disbursements This Page (optional) .....	<b>8500.00</b>
<b>TOTAL</b> This Period (last page this line number only) .....	<b>8500.00</b>