

SELECT SEC AND MARKET DATA FISCAL 2010

Table of Contents

Enforcement Milestones	2
Enforcement Action Summary by Primary Classification	3
Fiscal 2010 Enforcement Cases by Program Area	4
Investigations of Possible Violations of the Acts Administered by the Commission	19
Right to Financial Privacy	19
SEC Total Investor Contacts by Fiscal Year	20
Ten Most Common Complaints During Fiscal 2010	21
Unconsolidated Financial Information for Broker-Dealers	22
Unconsolidated Annual Revenues and Expenses for Broker-Dealers Doing a Public Business	23
Unconsolidated Balance Sheet for Broker-Dealers Doing a Public Business	24
Unconsolidated Revenues and Expenses for Carrying/Clearing Broker-Dealers	25
Unconsolidated Balance Sheet for Carrying/Clearing Broker-Dealers	26
Transaction Activity in Equities, Options and Security Futures	27

Table 1
ENFORCEMENT MILESTONES
FISCAL 2010

• Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$1.82 billion and to pay penalties of approximately \$1.03 billion.
• Sought orders barring 71 defendants and respondents from serving as officers or directors of public companies.
• Sought emergency relief from federal courts in the form of temporary restraining orders (TROs) to halt ongoing fraudulent conduct in 37 actions, and sought asset freezes in 57 actions.
• Filed 6 actions to enforce investigative subpoenas.
• Halted trading in securities of 254 issuers about which there was inadequate public disclosure.

In SEC-related criminal cases, prosecutors filed indictments, informations, or contempts in Fiscal 2010 in 139 cases.

Table 2
ENFORCEMENT ACTION SUMMARY CHART
FOR FISCAL YEAR 2010 BY PRIMARY CLASSIFICATION

(Each action initiated has been included in only one category listed below, even though many actions involved multiple allegations and may fall under more than one category. The number of defendants and respondents is noted parenthetically.)

Primary Classification	Civil Actions	Administrative Proceedings	Total	% of Total Actions
Securities Offering Cases	72 (318)	72 (76)	144 (394)	21%
Issuer Reporting and Disclosure Cases	58 (117)	68 (85)	126 (202)	18%
Other Regulated Entity Cases				
(a) Investment Advisers	29 (115)	78 (106)	107 (221)	
(b) Investment Companies	3 (7)	2 (3)	5 (10)	
(c) Transfer Agent	1 (2)	0 (0)	1 (2)	
Total Other Regulated Entity Cases	33 (124)	80 (109)	113 (233)	16%
Delinquent Filings Cases				
(a) Issuer Reporting	0 (0)	106 (596)	106 (596)	
(b) Forms 3 & 4	0 (0)	0 (0)	0 (0)	
Total Delinquent Filings Cases	0 (0)	106 (596)	106 (596)	16%
Broker-Dealer Cases	6 (9)	64 (86)	70 (95)	10%
Insider Trading Cases	34 (118)	19 (20)	53 (138)	8%
Market Manipulation Cases	24 (95)	10 (10)	34 (105)	5%
Contempt Proceedings	18 (26)	0 (0)	18 (26)	3%
Miscellaneous Cases	6 (15)	5 (6)	11 (21)	2%
Municipal Offering Cases	1 (2)	5 (5)	6 (7)	1%
TOTALS	252 (824)	429 (993)	681 (1817)	100%

Table 3
FISCAL 2010 ENFORCEMENT CASES
LISTED BY PROGRAM AREA

Name of Case	Release No.	Date Filed
Broker-Dealer		
In the Matter of George Tamura	34-60927	10/01/09
In the Matter of Peter C. Dunne	34-61804	10/13/09
In the Matter of Raymond Rapaglia	34-60816	10/13/09
In the Matter of Theodore W. Urban	34-60837	10/19/09
In the Matter of First New York Securities LLC	34-60842	10/20/09
In the Matter of Banc of America Investment Services, Inc., et al.	34-60870	10/22/09
In the Matter of Eric T. Seiden	34-60924	11/03/09
In the Matter of James E. Otto	34-62180	11/04/09
In the Matter of Rhino Trading, LLC, et al	34-60941	11/04/09
In the Matter of Nicos Achilleas Stephanou	34-60954	11/06/09
In the Matter of Merriman Curhan Ford & Co., et al.	34-60976	11/10/09
In the Matter of Aura Financial Services, Inc.	34-61555	11/16/09
In the Matter of Bruce B. Blatman	34-61096	12/02/09
In the Matter of David Gold	34-61111	12/04/09
SEC v. Brookstreet Securities Corp.	LR-21328	12/08/09
In the Matter of Robert J. Bradbury, et al.	34-61132	12/09/09
In the Matter of ICAP Securities USA LLC, et al.	33-9097	12/18/09
SEC v. Harold H. Jaschke	LR-21355	12/29/09
In the Matter of Jeffrey C. Young	34-61247	12/29/09
In the Matter of Mortgages Ltd. Securities, LLC	34-61377	01/19/10
In the Matter of David Harrison Baker	34-61503	02/04/10
In the Matter of Granite Financial Group, LLC	34-61502	02/04/10
In the Matter of Daniel Schreiber	34-61504	02/04/10
In the Matter of Donald Cunningham	34-61901	02/19/10
In the Matter of Axiom Capital Management, Inc.	34-61563	02/22/10
In the Matter of David V. Siegel	34-62803	02/22/10
In the Matter of Anthony Santos	34-61585	02/25/10
In the Matter of Warrior Fund LLC	34-61625	03/02/10
In the Matter of First Allied Securities, Inc.	34-61655	03/05/10
In the Matter of Phillip D'Hedouville	34-61661	03/05/10
SEC v. Salvatore Zangari	LR-21442	03/09/10
SEC v. JP Morgan Securities, Inc.	34-61734	03/10/10
SEC v. Jose O. Vianna, Jr., et al.	LR-21446	03/10/10
In the Matter of Don C. Weir	34-62049	03/15/10
In the Matter of Sandeep Singh	34-61786	03/25/10
In the Matter of Aaron Tsai	34-61778	03/25/10
In the Matter of John Farahi	34-67801	03/30/10
In the Matter of Qais R. Bhavnagari	34-62438	04/05/10
In the Matter of Nicholas Vulpis	34-61867	04/07/10
In the Matter of Jack Maddock	34-61916	04/15/10
SEC v. Goldman, Sachs & Co., et al.	LR-21489	04/16/10
In the Matter of Paul George Chironis	33-9119	04/23/10

Name of Case	Release No.	Date Filed
In the Matter of Ronald S. Bloomfield, et al.	34-62750	04/27/10
In the Matter of David A. Williams	34-62086	05/12/10
In the Matter of Goldman Sachs Execution & Clearing, L.P.	34-62025	05/14/10
In the Matter of Lorenzo Altadonna	34-62116	05/18/10
In the Matter of Angel Romo	34-62137	05/19/10
In the Matter of Jesus Gutierrez	34-62144	05/20/10
In the Matter of Kederio Ainsworth	34-62145	05/20/10
In the Matter of Gene T. Mancinelli	34-62153	05/21/10
In the Matter of Gabriel Paredes	34-62191	05/28/10
In the Matter of Stanton B.J. Defreitas	34-62677	06/04/10
In the Matter of Guillermo Haro	34-62226	06/04/10
In the Matter of Duane C. Johnson	34-62243	06/08/10
In the Matter of Ryan Nestor	34-62279	06/11/10
In the Matter of Barry M. Kornfeld	34-62466	07/07/10
In the Matter of Gary S. Becker, et al.	34-62561	07/23/10
In the Matter of Lambros D. Ballas	34-62931	07/28/10
SEC v. Gregory Todd Froning	LR-21610	08/02/10
In the Matter of Aamer Abdullah	34-62635	08/04/10
In the Matter of Stephen J. Brace	34-62679	08/10/10
In the Matter of Richard Jonathan Blech	34-62687	08/11/10
In the Matter of Paul Greenwood	34-62720	08/13/10
In the Matter of Gregory Todd Froning	34-62749	08/20/10
In the Matter of Pinnacle Capital Markets LLC, et al.	34-62811	09/01/10
In the Matter of Frank L. Constantino	34-62920	09/15/10
In the Matter of Timothy M. Gautney, et al.	34-62996	09/27/10
In the Matter of Thomas Michael Rittweger	34-62998	09/28/10
In the Matter of Guillermo D. Clamens	34-63008	09/29/10
In the Matter of Lina Lopez	34-63009	09/29/10

Civil Contempt

SEC v. Brian N. Hollnagel, et al.	None	10/29/09
SEC v. William A. DiBella	None	11/23/09
SEC v. Gordon A. Driver	None	11/30/09
SEC v. Trevor G. Cook	None	12/10/09
SEC v. Randall Goulding	None	12/11/09
SEC v. Daryn P. Fleming	None	12/22/09
SEC v. Wayde M. McKelvy	None	12/22/09
SEC v. Thomas F. Quinn	None	01/22/10
SEC v. Matria Corporation, et al.	None	03/10/10
SEC v. John Earl Brake	None	03/26/10
SEC v. Richard P. Smyth	None	04/13/10
SEC v. Steven W. Salutric, et al.	None	04/21/10
SEC v. Phillip R. Trujillo	None	04/21/10
SEC v. Edward Tackaberry	None	05/20/10
SEC v. New Day Atlanta, LLC, et al.	None	07/07/10
SEC v. International Realty Holdings, Inc., et al.	None	07/22/10
SEC v. Alfred Louis Vassallo, Jr.	None	09/21/10
SEC v. James A. Jefferty	None	09/22/10

Name of Case	Release No.	Date Filed
Delinquent Filing: Issuer Reporting		
In the Matter of Altiva Financial Corp., et al.	34-61058A	10/15/09
In the Matter of Minecore International, Inc.	34-61412	11/04/09
In the Matter of Customer Sports, Inc., et al.	34-61418	11/25/09
In the Matter of Pacific Acquisition Corp., et al.	34-61440	11/30/09
In the Matter of Energy Source, Inc.	34-60920	10/05/09
In the Matter of Value America, Inc., et al.	34-60964	10/14/09
In the Matter of M.G. Products, Inc., et al.	34-61082	10/20/09
In the Matter of Redtop Mountain Corp., et al.	34-60867	10/22/09
In the Matter of Park Meditech, Inc., et al.	34-60987	10/22/09
In the Matter of PKI Solutions, Inc., et al.	34-61018	10/27/09
In the Matter of Valcapx Acquisition Corp., et al.	34-61047	11/04/09
In the Matter of Western Fidelity Funding, Inc., et al.	34-60948	11/06/09
In the Matter of Masterpiece Technology Group, et al.	34-61114	11/09/09
In the Matter of Apponline.Com, Inc., et al.	34-61159	11/17/09
In the Matter of Mosaic Nutraceuticals Corp., et al.	34-61038	11/20/09
In the Matter of Planet Entertainment Corp., et al.	34-61380	11/20/09
In the Matter of Dynamic Sciences International, Inc.	34-61054	11/24/09
In the Matter of Downey Financial Corp.	34-61055	11/24/09
In the Matter of ClearComm LP	34-61056	11/24/09
In the Matter of Home Solutions of America, Inc.	34-61285	11/30/09
In the Matter of American Sports Development Group, Inc., et al.	34-61475	12/17/09
In the Matter of Macheezmo Mouse Restaurants, Inc., et al.	34-61576	01/21/10
In the Matter of Big Sky Energy Corp., et al.	34-61391	01/21/10
In the Matter of East Delta Resources Corp.	34-61526	01/26/10
In the Matter of PCC Group, Inc., et al.	34-61569	01/26/10
In the Matter of Ariel Corp., et al.	34-61436	01/28/10
In the Matter of L. Luria & Son, Inc., et al.	34-61608	01/29/10
In the Matter of Management Graphics, Inc., et al.	34-61687	02/01/10
In the Matter of Tostel Corp.	34-61678	02/03/10
In the Matter of Platinum & Gold, Inc.	34-62165	02/18/10
In the Matter of U.S. Biomedical Corp., et al.	34-62327	02/26/10
In the Matter of Biokey ID, Inc., et al.	34-61750	03/02/10
In the Matter of Verint Systems Inc.	34-62583	03/03/10
In the Matter of Planet Earth Recycling, Inc., et al.	34-61951	03/03/10
In the Matter of Amalgamated Explorations, Inc.	34-61870	03/03/10
In the Matter of Corridor Communications Corp., et al.	34-61957	03/03/10
In the Matter of Martech USA, Inc., et al.	34-61886	03/15/10
In the Matter of Lasersight, Inc., et al.	34-61985	03/15/10
In the Matter of Talisman Enterprises, Inc., et al.	34-61909	03/18/10
In the Matter of Tangent Solutions, Inc., et al.	34-61980	03/18/10
In the Matter of Aspen Group Resources Corp., et al.	34-61900	03/19/10
In the Matter of Comverse Technology, Inc.	34-61763	03/23/10
In the Matter of Ultimate Security Systems Corp., et al.	34-62022	03/23/10
In the Matter of P&P Research Co., Ltd.	34-62298	03/24/10
In the Matter of BFA Liquidation Trust, et al.	34-62154	03/24/10
In the Matter of Genessisintermedia, Inc.	34-61837	04/05/10
In the Matter of AB Liquidating Corp., et al.	34-62008	04/05/10
In the Matter of Advanced Mineral Technologies, Inc.	34-61880	04/09/10

Name of Case	Release No.	Date Filed
In the Matter of Apogee Technology, Inc.	34-62721	04/16/10
In the Matter of V-GPO, Inc., et al.	34-62246	04/20/10
In the Matter of LEP Group PLC, et al.	34-62221	04/23/10
In the Matter of Alyn Corp., et al.	34-62696	05/06/10
In the Matter of American Healthchoice, Inc., et al.	34-62203	05/06/10
In the Matter of Universal Property Development & Acquisition Corp.	34-62245	05/10/10
In the Matter of BCI Telecom Holding, Inc., et al.	34-62747	05/11/10
In the Matter of Ultrafem, Inc., et al.	34-62232	05/13/10
In the Matter of Brokat Technologies Aktiengesellschaft	34-62107	05/13/10
In the Matter of BVR Technologies, Ltd., et al.	34-62439	05/13/10
In the Matter of China Technology Global Corp.	34-62305	05/14/10
In the Matter of Broadengate Systems, Inc.	34-62426	05/14/10
In the Matter of Valesc Holdings, Inc., et al.	34-62163	05/25/10
In the Matter of United Vanguard Homes, Inc., et al.	34-62220	05/26/10
In the Matter of Tal Wireless Networks, Inc., et al.	34-62020	05/26/10
In the Matter of ULH Corp., et al.	34-62185	05/27/10
In the Matter of Life Resources, Inc., et al.	34-62576	06/01/10
In the Matter of Sintec Co., Ltd.	34-62958	06/01/10
In the Matter of Vikonics, Inc., et al.	34-62662	06/01/10
In the Matter of Miracor Diagnostics, Inc., et al.	34-62458	06/04/10
In the Matter of Alpha Resources, Inc., et al.	34-62345	06/04/10
In the Matter of Micro Laboratories, Inc.	34-62492	06/11/10
In the Matter of Diatect International Corporation	34-62672	06/11/10
In the Matter of American Energy Services, Inc., et al.	34-62652	06/15/10
In the Matter of Advanced Materials Group, Inc.	34-62306	06/17/10
In the Matter of Apton Corp., et al.	34-62546	06/17/10
In the Matter of Applied Nanoscience, Inc., et al.	34-62781	06/17/10
In the Matter of Channel America Television Network, Inc., et al.	34-62872	06/23/10
In the Matter of SSE Telecom, Inc., et al.	34-62532	06/23/10
In the Matter of Aris Industries, Inc., et al.	34-62558	06/28/10
In the Matter of FineLine Holdings, Inc.	34-62757	07/13/10
In the Matter of The Colonial BancGroup, Inc.	34-62497	07/14/10
In the Matter of E-Sync Networks, Inc., et al.	34-62756	07/14/10
In the Matter of Avalon Capital Holdings, Inc.	34-62537	07/21/10
In the Matter of Diamond Equities, Inc.	34-62536	07/21/10
In the Matter of Image Innovations Holdings, Inc.	34-62535	07/21/10
In the Matter of Universal Ceramics, Inc., et al.	34-62741	07/26/10
In the Matter of T&W Financial Corp., et al.	34-62790	07/29/10
In the Matter of Appiant Technologies, Inc., et al.	34-62926	08/10/10
In the Matter of Panworld Minerals International, Inc.	34-62913	08/12/10
In the Matter of Four Crystal Funding Inc.	34-62957	08/16/10
In the Matter of Geotec, Inc., et al.	34-62994	08/27/10
In the Matter of Atchison Casting Corp., et al.	34-62978	08/27/10
In the Matter of UB&T Financial Services Corp., et al.	34-62871	08/30/10
In the Matter of American Bullion Minerals, Ltd., et al.	34-62807	08/31/10
In the Matter of Villa Pasta, Inc., et al.	34-62812	09/01/10
In the Matter of Microwave Laboratories, Inc., et al.	34-62985	09/07/10
In the Matter of America First Associates Corp., et al.	34-62852	09/07/10
In the Matter of Team America, Inc., et al.	34-62860	09/07/10
In the Matter of The Tag Group, Inc., et al.	34-62986	09/07/10

Name of Case	Release No.	Date Filed
In the Matter of Electric Mail Co., Inc., et al.	34-62904	09/14/10
In the Matter of Anything2ship, Inc., et al.	34-62903	09/14/10
In the Matter of Speed of Thought Trading Corp., et al.	34-62905	09/14/10
In the Matter of United Education & Software, Inc., et al.	34-62944	09/20/10
In the Matter of Millennia Automated Products, Inc., et al.	34-62943	09/20/10
In the Matter of e-DOCS.MD, Inc., et al.	34-62962	09/21/10
In the Matter of American Aircarriers Support, Inc., et al.	34-63012	09/29/10
In the Matter of Amereco, Inc., et al.	34-63011	09/29/10

Insider Trading

SEC v. Feng "Frank" Xie	LR-21240	10/07/09
In the Matter of Samuel W. Childs, Jr.	34-60802	10/08/09
In the Matter of Erik R. Franklin	34-60803	10/08/09
In the Matter of David M. Tavdy	34-60804	10/08/09
SEC v. Benjamin P. Jones, et al.	LR-21249	10/15/09
SEC v. Alissa Joelle Kueng	LR-21249	10/15/09
SEC v. Galleon Management, LP, et al.	LR-21526	10/16/09
SEC v. Don N. Spaugy	LR-21260	10/23/09
SEC v. Stanko J. Grmovsek	LR-21263	10/27/09
In the Matter of Anthony Perez	34-60892	10/28/09
SEC v. J. Bennett Grocock	LR-21267	10/29/09
SEC v. King Chuen Tang, et al.	LR-21271	10/30/09
SEC v. Arthur J. Cutillo, et al.	LR-21283	11/05/09
In the Matter of William T. Dailey, III	34-60998	11/13/09
SEC v. R. Brooke Dunn, et al.	LR-21308	11/19/09
SEC v. Brien P. Santarlas	LR-21332	12/10/09
SEC v. Vinayak S. Gowrish, et al.	LR-21339	12/16/09
SEC v. Nicolas Patrick Benoit Condroyer, et al.	LR-21347	12/22/09
In the Matter of Ken Okada	34-61288	01/05/10
SEC v. Brooke D. Wagner	LR-21370	01/11/10
In the Matter of Adnan S. Zaman	34-61362	01/14/10
SEC v. Charles J. Marquardt	LR-21383	01/20/10
SEC v. Avi Fogel	LR-21392	01/22/10
SEC v. Bruce A. MacDonald, et al.	LR-21404	02/01/10
SEC v. David R. Slaine	LR-21403	02/02/10
SEC v. Joshua Z. Levinberg	LR-21405	02/03/10
In the Matter of J. Bennett Grocock, Esq.	34-61511	02/08/10
SEC v. Gerald D. Horn	LR-21414	02/11/10
SEC v. Steven Scoppetuolo, et al.	LR-21415	02/16/10
SEC v. John A. Foley, et al.	LR-21425	02/25/10
In the Matter of Tara R. Eisler	34-61586	02/25/10
In the Matter of Steven E. Nothorn	IA-2997	03/11/10
SEC v. Igor Poteroba, et al.	LR-21460	03/24/10
SEC v. Gary Navarro	LR-21469	03/30/10
SEC v. Morando Berrettini, et al.	LR-21472	03/31/10
In the Matter of David W. Baldt	33-9124	05/11/10
SEC v. Yonni Sebbag, et al.	LR-21536	05/26/10
SEC v. Pequot Capital Management, Inc., et al.	LR-21540	05/27/10
In the Matter of David E. Zilkha	34-62186	05/27/10

Name of Case	Release No.	Date Filed
In the Matter of Pequot Capital Management, Inc., et al.	IA-3035	06/08/10
In the Matter of Melissa A. Mahler	34-62267	06/10/10
In the Matter of Brien Santarlas, Esq.	34-62460	07/07/10
SEC v. Thomas P. Flanagan, et al.	AAER-3164	08/04/10
SEC v. Juan Jose Fernandez Garcia, et al.	LR-21631	08/20/10
In the Matter of James E. Gansman	34-62769	08/26/10
In the Matter of Donna B. Murdoch	34-62770	08/26/10
SEC v. James W. Self, Jr., et al.	LR-21638	09/01/10
SEC v. Dr. Bobby V. Khan	LR-21644	09/09/10
In the Matter of David R. Slaine	IA-3084	09/16/10
SEC v. Michael Jobe, et al.	LR-21665	09/24/10
SEC v. Richard A. Hansen, et al.	LR-21667	09/24/10
In the Matter of Igor Poteroba	34-62999	09/28/10
SEC v. Rex C. Steffes, et al.	LR-21678	09/30/10

Investment Adviser

In the Matter of Frank Dipascali, Jr.	34-60787	10/05/09
SEC v. David F. Merrick, et al.	LR-21525	10/14/09
SEC v. Ethan Kass	LR-21250	10/15/09
In the Matter of Tobias Bros. Inc.	IA-2936	10/16/09
In the Matter of Michael C. Regan	IA-2935	10/16/09
In the Matter of Philip G. Barry	IA-2937	10/16/09
In the Matter of Perceptive Advisors LLC	34-60843	10/20/09
In the Matter of Value Line, Inc., et al.	33-9081	11/04/09
In the Matter of S4 Capital, LLC, et al.	33-9111	11/12/09
SEC v. Homestead Properties, LP, et al.	LR-21353	11/12/09
SEC v. Jerome O'Hara, et al.	LR-21292	11/13/09
In the Matter of David L. McMillan	34-61029	11/19/09
In the Matter of David L. Hersh	IA-2953	11/20/09
In the Matter of Thomas Lester Irby II, et al.	IA-3008	11/24/09
In the Matter of Simpson Capital Management, Inc., et al.	34-61123	12/07/09
In the Matter of Moises Pacheco	IA-2960	12/11/09
In the Matter of Stephen Jay Mermelstein	IA-2961	12/14/09
In the Matter of Ark Asset Management Co., Inc.	IA-3091	12/14/09
In the Matter of Equity Services, Inc.	34-61181	12/16/09
In the Matter of Stephen A. Englese	34-61180	12/16/09
In the Matter of Bahram A. Jafari, et al.	33-9101	12/28/09
SEC v. Steve W. Salutric	LR-21366	01/08/10
SEC v. Neil V. Moody, et al.	LR-21506	01/11/10
In the Matter of Julie M. Jarvis, et al.	IA-2975	01/11/10
In the Matter of AGB Partners LLC, et al.	34-61422	01/26/10
In the Matter of Ethan Kass	34-61444	01/29/10
In the Matter of Mark Evan Bloom, CPA	AAER-3112	01/29/10
In the Matter of Albert Fase Kaleta	IA-2983	02/02/10
In the Matter of Mark J. Harrington	IA-2986	02/22/10
SEC v. Daniel Bonventre	AAER-3115	02/25/10
In the Matter of Sharanjit K. Khanna	34-61604	03/01/10
SEC v. Envision Direct LLC, et al.	LR-021427	03/01/10
In the Matter of Grant Ivan Grieve	IA-3061	03/02/10

Name of Case	Release No.	Date Filed
In the Matter of Reza Saleh	IA-2993	03/03/10
In the Matter of Barron A. Mathis	IA-2998	03/11/10
SEC v. Stephen X. Kim, et al.	LR-21450	03/11/10
In the Matter of Dan Wise, et al.	IA-2996	03/11/10
In the Matter of Simone O. Fevola	IA-2999	03/12/10
In the Matter of GPS Partners, LLC, et al.	34-61718	03/16/10
In the Matter of Charles J. Marquardt	34-61723	03/17/10
In the Matter of William L. Gunlicks	IA-3004	03/17/10
In the Matter of Paul H. Heckler, et al.	IA-3005	03/17/10
In the Matter of William H. Lofthus	34-61965	03/19/10
In the Matter of Mark K. Teruya	IA-3007	03/23/10
SEC v. Enrique F. Villalba, Jr.	LR-21464	03/29/10
SEC v. Stephen C. Bond	LR-21471	03/31/10
SEC v. Kevin H. Blood	LR-21473	04/01/10
In the Matter of Morgan Asset Management, Inc., et al.	AAER-3125	04/07/10
SEC v. Innovative Advisory Services, Inc., et al.	LR-21486	04/07/10
In the Matter of Brian Travis	IA-3010	04/07/10
SEC v. Renee Marie Brown, et al.	LR-21483	04/08/10
In the Matter of Arthur Nadel	IA-3039	04/08/10
In the Matter of Kevin H. Blood	IA-3013	04/12/10
In the Matter of Haberman Management Corp., et al.	34-61896	04/13/10
In the Matter of Stephen X. Kim, et al.	IA-3017	04/16/10
SEC v. Gryphon Holdings, Inc., et al.	LR-21494	04/20/10
SEC v. McGinn, Smith & Co., Inc., et al.	2010-62	04/20/10
SEC v. Jeffrey R. Neufeld, et al.	LR-21497	04/21/10
SEC v. Onyx Capital Advisors, LLC, et al.	LR-21500	04/22/10
SEC v. Susan G. Slovak	LR-21502	04/23/10
In the Matter of Beth R. Chapman	34-61970	04/23/10
In the Matter of Neil V. Moody	IA-3020	05/05/10
In the Matter of Christopher D. Moody	IA-3021	05/05/10
In the Matter of Susan G. Slovak	34-62068	05/10/10
In the Matter of Diego M. Rolando	IA-3025	05/12/10
In the Matter of Ali T. Far, et al.	IA-3027	05/12/10
In the Matter of Sherwin Brown, et al.	IA-3028	05/21/10
In the Matter of Lydia Capital, LLC	IA-3031	05/26/10
SEC v. Kenneth Ira Starr, et al.	LR-21541	05/27/10
SEC v. Aaron Donald Vallett, et al.	LR-21557	06/02/10
In the Matter of Stephen F. Clifford	34-62208	06/02/10
SEC v. Daniel Spitzer, et al.	LR-21579	06/17/10
SEC v. ICP Asset Management, LLC, et al.	LR-021563	06/21/10
SEC v. Trade-LLC, et al.	LR-21564	06/22/10
In the Matter of Julian T. Tzlov	34-62351	06/22/10
SEC v. Aamer Abdullah	LR-21576	06/25/10
SEC v. Life Wealth Management, Inc., et al.	LR-21582	06/28/10
In the Matter of David D. Hepworth	34-62390	06/28/10
In the Matter of Aaron Donald Vallett	34-62918	07/02/10
In the Matter of Gary R. Headding	34-62446	07/02/10
In the Matter of Stephen Michael Alexander	IA-3044	07/02/10
In the Matter of Philip W. Milton	34-62467	07/07/10
In the Matter of Ephraim Fields	AAER-3151	07/08/10

Name of Case	Release No.	Date Filed
In the Matter of James R. Halstead	IA-3054	07/21/10
In the Matter of Andrew D. Petrofsky, CPA	AAER-3155	07/22/10
In the Matter of Eric R. Majors	IA-3056	07/22/10
In the Matter of Spencer International Advisors, Inc., et al.	IA-3059	07/27/10
In the Matter of Eric S. Butler	34-62603	07/30/10
In the Matter of Steven W. Salutric	IA-3082	08/05/10
In the Matter of Ezra C. Levy	IA-3069	08/18/10
In the Matter of William H. Center	34-62753	08/20/10
In the Matter of Thompson Consulting, Inc.	IA-3073	08/25/10
In the Matter of E. Sherman Warner	IA-3074	08/25/10
In the Matter of Kyle J. Thompson	IA-3075	08/25/10
In the Matter of David C. Condie	IA-3076	08/25/10
SEC v. Sandra Venetis, et al.	LR-21641	09/02/10
In the Matter of Neal R. Greenberg	33-9139	09/07/10
In the Matter of Gregory Vincent Cronin	IA-3080	09/08/10
SEC v. Robert L. Duncan	LR-21668	09/23/10
In the Matter of Sierra Financial Advisors, LLC et al.	33-9145	09/23/10
SEC v. Sage Advisory Group, LLC, et al.	LR-21672	09/29/10
In the Matter of Sandra Venetis	34-63014	09/29/10
Systematic Financial Associates, Inc.	IA-3093	09/29/10
In the Matter of Valentine Capital Asset Management, Inc., et al.	34-63006	09/29/10
In the Matter of Spence-Lingo & Company, Ltd	34-63020	09/30/10
In the Matter of FreedomTree Mutual Funds and Asset Management, LLC, et al.	34-63019	09/30/10
In the Matter of John P. Flannery, et al.	33-9147	09/30/10
Investment Company		
SEC v. Charles R. Kokesh	LR-21264	10/27/09
SEC v. Quadrangle Group LLC, et al.	LR-21487	04/15/10
SEC v. GTF Enterprises, Inc., et al.	LR-21537	05/26/10
In the Matter of Sam P. Douglass, et al.	34-62261	06/10/10
In the Matter of Daxor Corporation	IC-29417	09/17/10
Issuer Reporting and Disclosure		
In the Matter of Michael J. Moore, CPA, et al.	AAER-3056	10/06/09
In the Matter of Peter Y. Atkinson, Esq.	AAER-3057	10/09/09
In the Matter of ECO2 Plastics, Inc.	AAER-3059	10/20/09
In the Matter of Tab Keplinger, CPA	AAER-3061	10/28/09
SEC v. China Holdings, Inc., et al.	AAER-3063	10/30/09
SEC v. Merge Healthcare Incorporated, et al.	AAER-3067	11/04/09
SEC v. SafeNet, Inc., et al.	AAER-3068	11/12/09
SEC v. Bancinsurance Corp., et al.	AAER-3069	11/16/09
SEC v. Diane Bjorkstrom	AAER-3070	11/17/09
SEC v. Benjamin Silva, III	AAER-3070	11/17/09
SEC v. Solutions of America, Inc., et al.	AAER-3071	11/30/09
In the Matter of Robert Bernstein	AAER-3072	12/04/09
SEC v. Black Box Corporation, et al.	AAER-3073	12/04/09
SEC v. Brad A. Morrice, et al.	AAER-3079	12/07/09
In the Matter of Kenneth Mueller, CPA	AAER-3075	12/10/09
In the Matter of Clinton Ronald Greenman, CPA	AAER-3076	12/10/09

Name of Case	Release No.	Date Filed
In the Matter of John Wilroy, CPA	AAER-3077	12/10/09
In the Matter of Gregory Pasko, CPA	AAER-3078	12/10/09
In the Matter of Applied Wellness Corporation	AAER-3103A	12/10/09
SEC v. Bobby Benton	LR-21335	12/11/09
SEC v. John W. Dwyer	AAER-3088	12/17/09
SEC v. Theodore P. Noncek	AAER-3088	12/17/09
In the Matter of Ernst & Young LLP	AAER-3087	12/17/09
In the Matter of William J. Carpenter, CPA	AAER-3081	12/17/09
In the Matter of Randy G. Fletchall, CPA	AAER-3082	12/17/09
In the Matter of Kenneth W. Peterson, CPA	AAER-3083	12/17/09
In the Matter of Mark V. Sever, CPA	AAER-3084	12/17/09
In the Matter of John M. Kiss, CPA	AAER-3085	12/17/09
In the Matter of Thomas D. Vogelsinger, CPA	AAER-3086	12/17/09
SEC v. William Jacobson	LR-21345	12/22/09
In the Matter of Applied Minerals, Inc.	33-9100	12/22/09
SEC v. Richard E. McDonald, et al.	AAER-3089	12/23/09
In the Matter of Anna M. Baird, CPA	AAER-3090	12/28/09
In the Matter of Stephen C. Gingrich, CPA	AAER-3092	12/30/09
SEC v. UTStarcom, Inc.	AAER-3093	12/31/09
In the Matter of Scott T. Veech, CPA	AAER-3096	01/06/10
In the Matter of Osvaldo Pitters	AAER-3095	01/06/10
In the Matter of Charles A. Gray, CPA	AAER-3097	01/07/10
In the Matter of David C. Mayfield, CPA	AAER-3099	01/07/10
In the Matter of John W. Jacobsen, CPA	AAER-3098	01/07/10
SEC v. NATCO Group, Inc.	AAER-3102	01/11/10
In the Matter of Natco Group Inc.	AAER-3101	01/11/10
In the Matter of Diane Bjorkstrom, CPA	AAER-3104	01/19/10
In the Matter of Theodore P. Noncek, CPA	AAER-3105	01/20/10
In the Matter of John W. Dwyer, CPA	AAER-3106	01/20/10
SEC v. General Re Corporation	AAER-3108	01/20/10
In the Matter of Deanna J. Seruga, CPA	AAER-3107	01/20/10
In the Matter of Joseph I. Emas	34-61386	01/20/10
SEC v. Assurant, Inc.	AAER-3109	01/21/10
In the Matter of Michael J. Byrd, CPA	AAER-3113	02/12/10
In the Matter of Gerard A.M. Oprins, CPA, et al.	AAER-3116A	03/01/10
SEC v. American Equity Investment Life Holding Company, et al.	LR-21431	03/03/10
SEC v. Rodney E. Wallace, et al.	LR-21434	03/03/10
SEC v. Verint Systems Inc.	AAER-3117	03/03/10
In the Matter of North American Technologies Group, Inc.	34-61652	03/05/10
SEC v. Presstek, Inc., et al.	LR-21443	03/09/10
SEC v. Vinod Gupta	LR-21451	03/15/10
SEC v. Vasant H. Raval	LR-21451	03/15/10
SEC v. Rajnish K. Das, et al.	LR-21451	03/15/10
SEC v. Innospec, Inc.	LR-21454	03/18/10
SEC v. DaimlerChrysler AG	2010-51	03/22/10
In the Matter of Joseph P. Collins, Esq.	34-61761	03/23/10
In the Matter of Brian K. Rabinovitz, CPA	AAER-3122	03/24/10
SEC v. Richard V. Priddy, et al.	LR-21462	03/25/10
In the Matter of David R. Cosgrove, CMA	AAER-3129	04/23/10
In the Matter of Marlin R. Brinsky, CPA	AAER-3130	04/28/10

Name of Case	Release No.	Date Filed
SEC v. Bobby J. Elkin, Jr., et al.	LR-21509	04/28/10
In the Matter of Bart A. Thielbar	34-62007	04/29/10
SEC v. Diebold, Inc.	AAER-3137	06/02/10
SEC v. Walden O'Dell	AAER-3137	06/02/10
SEC v. Gregory Geswein, et al.	AAER-3137	06/02/10
In the Matter of China Yuchai International Limited	AAER-3139	06/07/10
In the Matter of Anthony Bonica	AAER-3140	06/08/10
In the Matter of Jay Lapine, Esq.	34-62238	06/08/10
SEC v. William G. Mortensen, et al.	AAER-3141	06/09/10
In the Matter of L. Rex Andersen, CPA	AAER-3153	06/10/10
In the Matter of Harry O. Nicodemus IV, CPA	AAER-3143	06/10/10
SEC v. Lee B. Farkas	2010-102	06/16/10
In the Matter of Stephen Hozie	AAER-3148	06/19/10
In the Matter of Phillip Windom Offill, Jr., Esq.	34-62367	06/23/10
In the Matter of Fei-Fei Catherine Fang, CPA	AAER-3146	06/24/10
SEC v. Technip	AAER-3147	06/28/10
SEC v. Veraz Networks, Inc.	LR-21581	06/29/10
In the Matter of Ilse Cappel, CPA	AAER-3150	07/07/10
SEC v. ENI, S.p.a., et al.	AAER-3149	07/07/10
SEC v. Trident Microsystems, Inc., et al.	AAER-3154	07/16/10
SEC v. Dell Inc., et al.	AAER-3156	07/22/10
SEC v. Sunrise Senior Living, Inc., et al.	AAER-3157	07/23/10
In the Matter of Kenneth J. Abod, CPA	AAER-3158	07/23/10
SEC v. General Electric Company, et al.	AAER-3159	07/27/10
SEC v. Samuel E. Wyly, et al.	LR-21607	07/29/10
In the Matter of Larry E. Hulse, CPA	AAER-3160	07/29/10
SEC v. Citigroup, Inc.	LR-21605	07/29/10
In the Matter of Gary L. Crittenden, et al.	34-62593	07/29/10
SEC v. James W. McIntosh, et al.	AAER-3168	08/04/10
SEC v. Mark T. Schwetschenau	AAER-3168	08/04/10
SEC v. Joe Summers	AAER-3169	08/05/10
SEC v. David P. Turner, et al.	AAER-3167	08/05/10
In the Matter of Navistar International Corp., et al.	AAER-3165	08/05/10
In the Matter of Mark T. Schwetschenau	AAER-3166	08/05/10
SEC v. Universal Corp., Inc.	AAER-3170	08/06/10
SEC v. Alliance One International, Inc.	AAER-3170	08/06/10
SEC v. International Commercial Television, Inc.	LR-21622	08/09/10
SEC v. Karlheinz Redekopp	LR-21622	08/09/10
In the Matter of Dohn + Company CPAs, et al.	AAER-3171	08/09/10
SEC v. Kevin J. Schott	LR-21625	08/13/10
In the Matter of Matthew W. Hardey	AAER-3173	08/20/10
In the Matter of L. Cyrus DeBlanc	AAER-3172	08/20/10
In the Matter of Stephen Burke, CPA	AAER-3175	08/24/10
In the Matter of Stephen D. Chanslor, CPA	AAER-3176	08/26/10
SEC v. Robert W. Davis	AAER-3177	08/27/10
SEC v. Randall D. Imhoff	AAER-3177	08/27/10
SEC v. Sujata Sachdeva, et al.	AAER-3180	09/01/10
In the Matter of Kevin J. Schott, CPA	AAER-3181	09/08/10
SEC v. Affiliated Computer Services, Inc.	AAER-3182	09/09/10
In the Matter of Patti M. Dodge, CPA	AAER-3184	09/10/10

Name of Case	Release No.	Date Filed
In the Matter of David N. Kenneally, CPA	AAER-3183	09/10/10
In the Matter of Brad A. Morrice, Esq.	34-62890	09/10/10
In the Matter of KMJ Corbin & Company, LLP, et al.	AAER-3185	09/13/10
In the Matter of Prospero group	34-62895	09/13/10
In the Matter of David A. Swoish	34-62939	09/20/10
In the Matter of Sunopta, Inc., et al.	AAER-3198	09/24/10
SEC v. Paul R. Beckwith, et al.	LR-21669	09/24/10
SEC v. ABB Ltd.	AAER-3191	09/29/10
In the Matter of Stephen Durland, CPA	AAER-3190	09/29/10
In the Matter of infoUSA Inc., k/n/a infoGroup, Inc.	34-61708	03/15/15

Market Manipulation

SEC v. Lambros D. Ballas	LR-21259	10/22/09
In the Matter of William J. Reilly, Esq.	34-60890	10/27/09
SEC v. Ezra C. Levy	LR-21289	11/10/09
SEC v. Big Apple Consulting USA, Inc., et al.	LR-21305	11/18/09
SEC v. Nova Gen Corporation, et al.	LR-21322	12/04/09
SEC v. Robert Feeback, et al.	LR-21387	01/20/10
SEC v. East Delta Resources Corp., et al.	LR-21395	01/26/10
In the Matter of Palmyra Capital Advisors LLC	34-61421	01/26/10
SEC v. Stephen Czarnik	LR-21401	02/01/10
SEC v. Greenstone Holdings, Inc., et al.	LR-21416	02/18/10
SEC v. Chaya Unger	LR-21439	03/05/10
SEC v. BroCo Investments, et al.	LR-21571	03/15/10
In the Matter of Richard J. Evangelista	34-61832	04/02/10
SEC v. Seven Palm Investments, LLC, et al.	LR-21513	05/04/10
SEC v. Spongetech Delivery Sustems, Inc., et al.	AAER-3131	05/05/10
In the Matter of Peter G. Grabler	34-62073	05/11/10
In the Matter of Leonard J. Adams	34-62072	05/11/10
SEC v. Peter G. Grabler	LR-21522	05/11/10
SEC v. Leonard J. Adams	LR-21521	05/11/10
In the Matter of Jeffrey A. Richardson	34-62113	05/17/10
SEC v. Blake G. Williams, et al.	LR-21539	05/27/10
SEC v. Elizabeth A. Dragon	LR-21545	06/02/10
SEC v. Carol McKeown, et al.	LR-21580	06/29/10
In the Matter of Appaloosa Management LP	34-62447	07/02/10
SEC v. InvestSource, Inc., et al.	LR-21591	07/09/10
SEC v. PCS Edventures!.com, Inc., et al.	LR-21635	08/26/10
In the Matter of Craig Kellerman	34-62840	09/03/10
In the Matter of Kenneth Bruce Baker	34-62868	09/08/10
SEC v. BIH Corporation, et al.	LR-21656	09/20/10
In the Matter of Carlson Capital, L.P.	34-62982	09/23/10
SEC v. Richard Dean Carter	LR-21671	09/24/10
SEC v. Mark Johnson, et al.	LR-21663	09/24/10
SEC v. Quri Resources, Inc., et al.	LR-21675	09/30/10
SEC v. Atlantis Technology Group, et al.	LR-21674	09/30/10

Miscellaneous

SEC v. Gina P., Solow	LR-21382	11/23/09
-----------------------	----------	----------

Name of Case	Release No.	Date Filed
SEC v. William A. DiBella, et al.	None	12/23/09
SEC v. Moody's Investors Service, Inc.	34-62802	08/31/10
In the Matter of Lace Financial Corp., et al.	34-62834	09/02/10
In the Matter of Damyon Mouzon	34-62835	09/02/10
SEC v. Thomas J. Dudchik	LR-21645	09/03/10
SEC v. Samuel B. Vitale, et al.	LR-21411	01/09/10
SEC v. Bank of America Corporation	LR-21407	02/04/10
In the Matter of Michael Degennaro	AAER-3124	04/02/10
In the Matter of David W. Wehrs	IA-3034	06/03/10
SEC v. Gordon Brent Pierce	None	06/08/10

Municipal Offering

SEC v. Charles E. LeCroy, et al.	LR-21280	11/04/09
In the Matter of J.P. Morgan Securities Inc.	33-9078	11/04/09
In the Matter of John F. Kendrick	34-62500	03/24/10
In the Matter of Southwest Securities, Inc.	34-61768	03/24/10
In the Matter of William B. Blount	34-62549	07/22/10
In the Matter of State of New Jersey	33-9135	08/18/10

Securities Offering

SEC v. Randy M. Cho	LR-21275	10/07/09
In the Matter of Tony E. Morrison	34-60805	10/08/09
SEC v. HomePals, LLC, et al.	LR-21354	10/16/09
In the Matter of William A. Huber	IA-2940	10/20/09
In the Matter of Peter Moulinos, Esq.	34-60844	10/20/09
SEC v. Charles C. Slowey, et al.	LR-21258	10/22/09
In the Matter of Mohit A. Khanna	34-60891	10/27/09
SEC v. Amante Corp., et al.	LR-21266	10/28/09
In the Matter of Jonathan W. Mikula	34-60904	10/29/09
SEC v. Thomas B. Evans	LR-21288	11/06/09
SEC v. Albert Fase Kaleta, et al.	LR-21293	11/13/09
SEC v. Mantria Corporation, et al.	LR-21301	11/16/09
In the Matter of Damir Lukovic	34-61621	11/16/09
In the Matter of William H. Eichengreen	IA-2952	11/19/09
SEC v. Shidaal Express, Inc., et al.	LR-21320	11/19/09
SEC v. Capital Mountain Holding Corp., et al.	LR-21311	11/20/09
SEC v. Trevor G. Cook, et al.	LR-21313	11/23/09
SEC v. Canopy Financial, Inc., et al.	LR-21336	11/30/09
SEC v. Striker Petroleum, LLC, et al.	LR-21325	12/03/09
SEC v. Rockford Funding Group, et al.	LR-21329	12/08/09
SEC v. Investools Inc., et al.	LR-21331	12/10/09
SEC v. Dean P. Gross, et al.	LR-21338	12/14/09
SEC v. Eagle Development Enterprises, Inc., et al.	LR-21337	12/14/09
In the Matter of Mark A. Lefkowitz	34-61166	12/15/09
SEC v. Triton Financial, LLC, et al.	LR-21346	12/22/09
SEC v. Rockwell Energy of Texas, LLC, et al.	LR-21348	12/23/09
In the Matter of Christian Kuretski	34-61299	01/06/10
SEC v. Richard Elkinson	LR-21553	01/07/10

Name of Case	Release No.	Date Filed
SEC v. Thomas A. Labry, et al.	LR-21365	01/07/10
SEC v. NewPoint Financial Services, Inc., et al.	LR-21369	01/11/10
In the Matter of Edward J. Driving Hawk, Sr.	34-61353	01/14/10
In the Matter of Thomas T. Emerton, III	34-61527	01/14/10
In the Matter of Leo R. Driving Hawk, Sr.	34-61964	01/14/10
In the Matter of Edmund J. Smedley	34-61354	01/14/10
In the Matter of John M. Adams	34-61839	01/14/10
In the Matter of William J. Herisko	34-61945	01/14/10
In the Matter of Gerald P. Alexander	34-61795	01/20/10
SEC v. Bernard Daniel Braver	LR-21386	01/21/10
In the Matter of Donna M. McKelvy	34-61654	01/22/10
In the Matter of Registration Statement of Tsukuda-America Inc.	33-9102	01/26/10
SEC v. Tsukuda-America Inc., et al.	AAER-3111A	01/28/10
SEC v. Winning Kids, Inc., et al.	LR-21400	01/29/10
In the Matter of Ronnie Eugene Bass, Jr.	IA-2994	02/01/10
SEC v. David W. Wehrs, et al.	LR-21399	02/01/10
In the Matter of Donald L. Marr	34-61472	02/02/10
SEC v. State Street Bank and Trust Company	LR-21408	02/04/10
In the Matter of State Street Bank and Trust Company	33-9107	02/04/10
SEC v. Pacific Asian Atlantic Foundation, et al.	LR-21417	02/19/10
SEC v. Lawrence "Lee" Loomis, et al.	LR-21422	02/23/10
In the Matter of Bernard Daniel Braver	34-61599	02/26/10
In the Matter of Christine M. Zamorsky, et al.	34-62070	02/26/10
SEC v. Kathleen S. Dobens, et al.	LR-21437	03/01/10
In the Matter of Francesco Rusciano	34-61631	03/02/10
SEC v. Alan Todd May, et al.	LR-21436	03/02/10
SEC v. Gaston E. Cantens, et al.	LR-21430	03/03/10
SEC v. Michell, Porter & Williams, Inc., et al.	LR-21535	03/03/10
SEC v. Sean David Morton, et al.	LR-21433	03/04/10
SEC v. Francois E. Durmaz, et al.	LR-21445	03/09/10
SEC v. Richard Verdiramo, et al.	LR-21447	03/10/10
SEC v. American Settlement Associates, LLC, et al.	LR-21458	03/16/10
SEC v. M. Mark McAdams, et al.	LR-21455	03/18/10
SEC v. Douglas F. Vaughan	LR-21556	03/23/10
In the Matter of Christian Hainsworth	34-61792	03/26/10
In the Matter of James H. Park	34-61816	03/31/10
In the Matter of J. Michael Broullier (CPA)	AAER-3132	04/01/10
SEC v. Daniel O'Riordan	LR-21474	04/02/10
In the Matter of Jimmy L. Barker	34-61874	04/08/10
In the Matter of Marc S. Rifkin	34-61875	04/08/10
In the Matter of Michael Weidgans	34-61873	04/08/10
SEC v. Scott D. Farah, et al.	LR-21482	04/09/10
In the Matter of Richard G. Pacheco	34-61889	04/12/10
In the Matter of Patrick V. Looper	34-61888	04/12/10
In the Matter of Ronald Bowsky	34-61893	04/13/10
SEC v. Integrity Financial AZ, LLC, et al.	LR-21488	04/15/10
SEC v. Nevin K. Shapiro	LR-21495	04/21/10
SEC v. TierOne Converged Networks, Inc., et al.	LR-21510	04/27/10
In the Matter of Marc S. Dreier, Esq.	34-62002	04/29/10
SEC v. New Day Atlanta, LLC, et al.	LR-21512	05/03/10

Name of Case	Release No.	Date Filed
SEC v. Matthew John Ryan, et al.	LR-21511	05/03/10
In the Matter of John L. Milling	34-62030	05/04/10
SEC v. Dennis Lee Keating II	LR-21520	05/06/10
In the Matter of Stanley W. Anderson	34-62100	05/13/10
In the Matter of Michael D. Norton	34-62099	05/13/10
In the Matter of Edwin A. Smith	34-62098	05/13/10
In the Matter of Charles L. Kennedy	34-62097A	05/13/10
In the Matter of Nicholas R. Fair	34-62096	05/13/10
In the Matter of Jason Hertz	34-62862	05/13/10
SEC v. Edward A. Allen, et al.	LR-21529	05/20/10
In the Matter of David F. Merrick	34-62150	05/21/10
In the Matter of Gregory W. Laser	34-62149	05/21/10
SEC v. Matthew J. Gagnon	LR-21532	05/24/10
SEC v. Christopher W. Bass, et al.	LR-21533	05/24/10
In the Matter of Joseph Milanowski	34-62538	05/27/10
SEC v. Luis Felipe Perez	LR-21544	06/02/10
SEC v. Bruce S. Frank	None	06/04/10
SEC v. Petrogas Overseas Trading, LP, et al.	LR-21549	06/07/10
In the Matter of Robert Tringham	34-62244	06/08/10
In the Matter of Gordon Brent Pierce, et al.	33-9125	06/08/10
SEC v. Merendon Mining (Nevada) Inc., et al.	LR-21552	06/10/10
SEC v. Chimay Capital Management, Inc., et al.	LR-21554	06/11/10
SEC v. United American Ventures, LLC, et al.	LR-21556	06/14/10
SEC v. Martin T. Wegener, et al.	LR-21560	06/14/10
SEC v. Seisma Oil Research, LLC, et al.	LR-21562	06/16/10
SEC v. Matthew Jennings, et al.	LR-21561	06/16/10
SEC v. Anthony T. Banas	LR-21566	06/22/10
SEC v. Anthony C. Zufelt, et al.	LR-21570	06/23/10
SEC v. Advanced Technologies Group, Ltd., et al.	LR-21567	06/23/10
SEC v. Estate of Kenneth Wayne McLeod, et al.	LR-21569	06/24/10
In the Matter of Bruce S. Frank, Esq.	34-62383	06/25/10
SEC v. Robert Stinson, Jr., et al.	LR-21584	06/29/10
SEC v. Travis L. Wright	LR-21586	07/02/10
In the Matter of Dennis Lee Keating II	34-62456	07/06/10
In the Matter of Matthew C. Gless	AAER-3152	07/13/10
In the Matter of Gary Maddux	34-62487	07/13/10
In the Matter of Martin T. Wegener	34-62529	07/19/10
SEC v. Laurence M. Brown, et al.	LR-21597	07/22/10
In the Matter of Daren L. Palmer	34-62591	07/29/10
In the Matter of John J. Coutris	34-62611	07/30/10
In the Matter of Michael J. Coutris	34-62612	07/30/10
In the Matter of J. Coutris Partners, LP	34-62613	07/30/10
In the Matter of Thomas P. Flanagan, CPA	AAER-3163	08/04/10
SEC v. CJ's Financial, et al.	LR-21619	08/04/10
SEC v. Joseph R. Porche, et al.	LR-21614	08/04/10
In the Matter of Shauntel A. McCoy	34-62634	08/04/10
In the Matter of Robert Comiskey	34-62689	08/11/10
In the Matter of William Carson Arnold	34-62693	08/11/10
SEC v. Jon C. Ginder, et al.	LR-21624	08/11/10
In the Matter of Robert T. Harvey	IA-3072A	08/24/10

Name of Case	Release No.	Date Filed
SEC v. Halek Energy, LLC, et al.	LR-21637	08/31/10
In the Matter of Edward M. Denigris	34-62844	09/03/10
SEC v. LADP Acquisition, Inc., et al.	LR-21655	09/14/10
In the Matter of David G. Rose	34-62915	09/15/10
In the Matter of Mark D. Long	34-62916	09/15/10
In the Matter of Jason T. Rose	34-62917	09/15/10
In the Matter of Frank L. Schwartz	34-62922	09/15/10
In the Matter of Jeffrey M. Zamorsky	34-62938	09/20/10
SEC v. True North Finance Corporation	AAER-3187	09/21/10
SEC v. Gustav George Bujkovsky, et al.	LR-21659	09/21/10
In the Matter of Anthony ("Tony") J. Oliva	34-62975	09/22/10
In the Matter of Eric J. Hollowell	34-62974	09/22/10
In the Matter of Matthew A. Dies	34-62973	09/22/10
In the Matter of Philip Lee David Jack Thomas	34-62976	09/22/10
In the Matter of William Dyer	34-62972	09/22/10
In the Matter of Konrad C. Kafarski	34-63015	09/29/10

Transfer Agent

SEC v. Whitney D. Lund, Sr., et al.	LR-21317	11/30/09
-------------------------------------	----------	----------

Table 4
INVESTIGATIONS OF POSSIBLE VIOLATIONS OF THE ACTS
ADMINISTERED BY THE COMMISSION

Pending as of October 1, 2009.....	4,317*
Opened in Fiscal Year 2010	952
Total.....	5,269
Closed in Fiscal Year 2010.....	975
 Pending as of September 30, 2010	 4,294
 Formal Orders of Investigation	
Issued in Fiscal Year 2010.....	531

* * * * *

Right to Financial Privacy

Section 21(h) of the Securities Exchange Act of 1934 [15 U.S.C. 78u(h)(6)] requires that the Commission “compile an annual tabulation of the occasions on which the Commission used each separate subparagraph or clause of [Section 21(h)(2)] or the provisions of the Right to Financial Privacy Act of 1978 [12 U.S.C. 3401-22 (the RFPA)] to obtain access to financial records of a customer and include it in its annual report to the Congress.” During the fiscal year, the Commission issued no subpoenas under Section 21(h)(2)(A)(3). Set forth below are the number of occasions on which the Commission obtained customer records pursuant to the provisions of the RFPA:

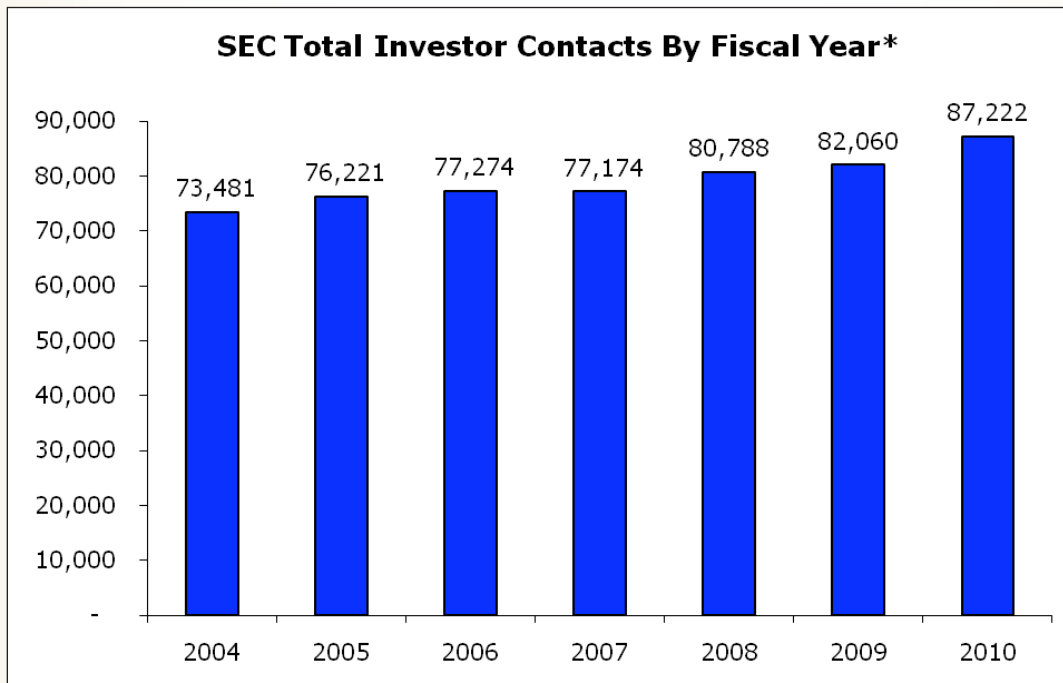
Section 1104 (Customer Authorizations)	48
Section 1105 (Administrative Subpoenas)	397
Section 1107 (Judicial Subpoenas)	7
Section 1109 (Delayed Customer Notice)	0

*The number of investigations pending at the beginning of the fiscal year may change from previously reported numbers due to investigations being reopened or delays in entering closed investigations in the case management system.

Investor Complaints and Questions

During FY 2010, the SEC's Office of Investor Education and Advocacy (OIEA) performed 87,222 activities related to complaints, questions, and other contacts received from investors.

Table 5



* During FY 2010, OIEA implemented a new case management tracking system that employs a different reporting methodology than used in prior years. OIEA previously reported the annual number of investor contacts received, but now reports the annual number of investor assistance activities performed by staff.

Complaint Trends

The volume of complaints concerning problems with advance fee fraud ranked first among all complaint categories in FY 2010. OIEA also received a combined total of 1,437 complaints concerning account administration issues (ranking third and fourth on the list).

Table 6
TEN MOST COMMON COMPLAINTS RECEIVED DURING FY 2010*

Rank	Complaint Type	FY 2010 Totals
1	Advance Fee Fraud	1217
2	Manipulation of Securities/Prices	788
3	Account Administration and Processing (Maintenance, Including Account Closing and Redemption Issues)	777
4	Account Administration and Processing (Matters Relating to Daily Activity in an Account)	660
5	Delivery of Funds/Proceeds	494
6	Misrepresentations and Omissions: Inaccurate, Misleading or Non-Disclosure by Broker-Dealers, Investment Advisers, and Associated Persons	444
7	Unregistered Security, Salesperson, or Entity	420
8	Specific Market Events/Comments and Complaints	412
9	Ponzi/Pyramid Scheme	379
10	Administrative Fees: Excessive or Unnecessary	328

*During FY 2010, OIEA implemented a new case management tracking system that employs a different reporting methodology than used in prior years. As a result, an exact comparison with all prior year complaint data is not feasible.

Table 7
UNCONSOLIDATED FINANCIAL INFORMATION FOR BROKER-DEALERS
2005 - 2009 1/
(\$ in Millions)

	2005	2006	2007	2008	2009
<u>Revenues</u>					
Securities Commissions	\$46,803.2	\$49,671.4	\$54,371.6	\$55,168.5	\$48,969.0
Gains (Losses) in Trading and Investment Accounts	30,681.0	55,193.1	4,132.1	-55,305.0	45,337.0
Profits (Losses) from Underwriting and Selling Groups	19,877.7	23,623.2	26,502.7	16,330.9	22,569.3
Margin Interest	13,269.8	23,689.5	32,293.0	18,134.0	4,529.2
Revenues from Sale of Investment Company Shares	20,698.8	23,346.0	26,227.5	22,082.1	17,153.2
All Other Revenues	201,170.5	282,940.6	352,990.0	240,180.2	149,524.3
Total Revenues	\$332,501.1	\$458,463.7	\$496,516.9	\$296,590.8	\$288,082.1
<u>Expenses</u>					
Registered Representatives' Compensation (Part II Only) 2/	\$31,712.5	\$36,606.7	\$38,714.6	\$34,956.4	\$34,897.1
Other Employee Compensation and Benefits	53,771.0	63,151.3	63,872.0	56,256.1	57,512.5
Compensation to Partners and Voting Stockholder Officers	3,329.9	3,623.8	3,718.4	3,808.5	3,497.3
Commissions and Clearance Paid to Other Brokers	18,645.3	21,980.5	25,890.6	26,398.3	23,291.8
Interest Expenses	140,239.9	226,146.5	282,238.7	122,712.6	21,883.6
Regulatory Fees and Expenses	1,787.7	1,906.3	2,043.2	1,987.8	2,172.2
All Other Expenses 2/	61,830.8	66,481.3	74,978.6	74,026.6	69,144.5
Total Expenses	\$311,317.0	\$419,896.5	\$491,456.0	\$320,146.3	\$212,398.9
<u>Income and Profitability</u>					
Pre-tax Income	\$21,184.1	\$38,567.2	\$5,060.9	-\$23,555.5	\$75,683.2
Pre-tax Profit Margin	6.4%	8.4%	1.0%	-7.9%	26.3%
Pre-tax Return on Equity	13.1%	22.1%	2.7%	-12.8%	38.3%
<u>Assets, Liabilities and Capital</u>					
Total Assets	\$5,215,073.0	\$6,221,520.8	\$6,777,335.6	\$4,441,382.6	\$4,345,375.5
<u>Liabilities</u>					
(a) Unsubordinated Liabilities	4,952,054.3	5,930,650.0	6,439,951.4	4,118,697.2	4,007,250.3
(b) Subordinated Liabilities	98,912.6	106,241.0	150,895.3	141,803.9	123,608.6
(c) Total Liabilities	\$5,050,966.9	\$6,036,891.0	\$6,590,846.7	\$4,260,501.1	\$4,130,858.9
Ownership Equity	\$164,106.1	\$184,629.7	\$186,488.9	\$180,881.5	\$180,881.5
Number of Firms	6,016	5,808	5,562	5,178	5,063

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

2/ Registered representatives' compensation for firms that neither carry nor clear is included in "other expenses" as this expense item is not reported separately on Part IIA of the FOCUS Report.

Source: FOCUS Report

Table 8
UNCONSOLIDATED ANNUAL REVENUES AND EXPENSES FOR BROKER-DEALERS
DOING A PUBLIC BUSINESS
2005 - 2009 1/
(\$ in Millions)

	2005	2006	2007	2008	2009
<u>Revenues</u>					
Securities Commissions	\$46,246.4	\$49,159.8	\$53,946.1	\$54,724.8	\$48,531.5
Gains (Losses) in Trading and Investment Accounts	25,931.9	48,217.5	-2,964.0	-61,890.7	39,308.4
Profits (Losses) from Underwriting and Selling Groups	19,879.2	23,627.9	26,502.7	16,330.9	22,569.3
Margin Interest	13,246.0	23,687.7	32,286.9	18,134.7	4,529.3
Revenues from Sale of Investment Company Shares	20,698.9	23,346.0	26,227.5	22,081.8	17,152.7
All Other Revenues	195,297.6	272,325.1	339,802.4	232,150.0	146,971.4
Total Revenues	\$321,300.0	\$440,364.0	\$475,801.5	\$281,531.6	\$279,062.5
<u>Expenses</u>					
Registered Representatives' Compensation (Part II Only) 2/	\$31,711.6	\$36,604.7	\$38,691.8	\$34,955.4	\$34,895.9
Other Employee Compensation and Benefits	52,908.1	62,146.3	62,858.4	54,804.1	56,378.2
Compensation to Partners and Voting Stockholder Officers	3,165.1	3,449.7	3,569.9	3,602.0	3,361.0
Commissions and Clearance Paid to Other Brokers	18,258.9	21,479.0	25,305.1	25,721.6	22,184.1
Interest Expenses	136,122.4	217,923.2	271,874.1	121,336.8	21,415.0
Regulatory Fees and Expenses	1,557.0	1,632.3	1,824.1	1,773.2	1,776.7
All Other Expenses 2/	59,963.3	63,809.1	71,520.4	71,536.6	67,269.8
Total Expenses	\$303,686.4	\$407,044.2	\$475,643.7	\$313,729.8	\$207,280.8
<u>Income and Profitability</u>					
Pre-tax Income	\$17,613.6	\$33,319.8	\$157.8	-\$32,198.2	\$71,781.8
Pre-tax Profit Margin	5.5%	7.6%	0.0%	-11.4%	25.7%
Pre-tax Return on Equity	12.0%	21.3%	0.1%	-19.2%	38.9%
Number of Firms	5,143	5,077	4,991	4,708	4,660

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

2/ Registered representatives' compensation for firms that neither carry nor clear is included in "other expenses" as this expense item is not reported separately on Part IIA of the FOCUS Report.

Source: FOCUS Report

Table 9
UNCONSOLIDATED BALANCE SHEET FOR BROKER-DEALERS
DOING A PUBLIC BUSINESS
YEAR-END, 2005 - 2009 1/
(\$ in Millions)

	2005	2006	2007	2008	2009
<u>Assets</u>					
Cash	\$59,502.8	\$85,695.8	\$109,501.5	\$126,326.1	\$95,092.5
Receivables from Other					
Broker-Dealers	1,941,595.2	2,465,769.3	2,534,768.8	1,406,955.4	1,446,116.5
Receivables from Customers	202,277.2	252,147.2	261,413.4	140,964.1	175,971.4
Receivables from Non-customers	28,989.0	37,937.7	65,205.8	22,174.2	22,939.6
Long Positions in Securities					
and Commodities	1,184,107.5	1,383,270.8	1,593,015.7	1,179,516.7	1,049,598.1
Securities and Investments					
not Readily Marketable	14,696.7	19,615.7	21,165.2	11,335.1	25,774.4
Securities Purchased Under Agreements					
to Resell (Part II only) 2/	1,288,647.4	1,342,498.3	1,473,453.8	1,186,011.1	1,143,322.8
Exchange Membership	769.3	312.1	343.1	297.7	353.4
Other Assets 2/	249,177.4	320,858.9	355,164.4	207,340.6	254,240.6
Total Assets	\$4,969,762.5	\$5,908,105.6	\$6,414,031.7	\$4,280,920.8	\$4,213,409.3
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$97,655.4	\$104,855.4	\$114,438.7	\$43,251.3	\$73,472.3
Payables to Other Broker-dealers	1,018,199.3	1,222,095.1	1,302,092.0	544,974.5	603,840.5
Payables to Non-customers	67,301.4	102,941.8	105,636.7	83,576.6	87,459.6
Payables to Customers	508,372.3	560,712.9	761,135.8	665,648.9	579,542.7
Short Positions in Securities					
and Commodities	487,003.6	558,532.3	523,353.2	295,773.0	352,309.3
Securities Sold Under Repurchase					
Agreements (Part II only) 2/	2,124,355.6	2,579,075.1	2,796,745.3	1,992,187.1	1,768,340.7
Other Non-subordinated Liabilities 2/	421,882.5	510,191.8	492,080.3	347,333.0	423,803.0
Subordinated Liabilities	96,871.1	104,311.0	149,696.4	141,000.0	123,072.0
Total Liabilities	\$4,821,641.1	\$5,742,715.4	\$6,245,178.3	\$4,113,744.4	\$4,011,840.2
Equity Capital	\$148,121.4	\$165,390.2	\$168,853.5	\$167,176.4	\$201,569.2
Number of Firms	5,143	5,077	4,991	4,708	4,660

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

2/ Resale agreements and repurchase agreements for firms that neither carry nor clear are included in "other assets" and "other non-subordinated liabilities," respectively, as these items are not reported separately on Part IIA of the FOCUS Report.

Source: FOCUS Report

Table 10
UNCONSOLIDATED REVENUES AND EXPENSES FOR
CARRYING/CLEARING BROKER-DEALERS 1/
(\$ in Millions)

	2008		2009		
	Dollars	Percent of Total Revenues	Dollars	Percent of Total Revenues	Percent Change 2008-2009
<u>Revenues</u>					
Securities Commissions	\$39,221.7	17.5%	\$33,942.6	14.9%	-13.5%
Gains (Losses) in Trading and Investment Accounts	-63,863.2	-28.5	33,781.4	14.9	-152.9
Profits (Losses) from Underwriting and Selling Groups	15,095.3	6.7	21,468.4	9.4	42.2
Margin Interest	18,134.7	8.1	4,529.3	2.0	-75.0
Revenues from Sale of Investment Company Shares	11,531.8	5.2	8,826.2	3.9	-23.5
Miscellaneous Fees	25,238.8	11.3	22,201.6	9.8	-12.0
Revenues from Research	78.2	0.0	83.2	0.0	6.4
Commodities Revenues	5,356.1	2.4	4,070.1	1.8	-24.0
All Other Revenues	172,990.7	77.3	98,530.5	43.3	-43.0
Total Revenues	\$223,783.9	100.0%	\$227,433.3	100.0%	1.6%
<u>Expenses</u>					
Registered Representatives' Compensation	\$34,955.4	15.6%	\$34,895.9	15.3%	-0.2%
Other Employee Compensation and Benefits	39,368.7	17.6	42,154.7	18.5	7.1
Compensation to Partners and Voting Stockholder Officers	1,231.5	0.6	1,244.1	0.5	1.0
Commissions and Clearance Paid to Other Brokers	11,902.8	5.3	10,693.6	4.7	-10.2
Communications	6,013.8	2.7	5,769.7	2.5	-4.1
Occupancy and Equipment Costs	6,800.0	3.0	6,907.9	3.0	1.6
Data Processing Costs	3,390.0	1.5	3,106.5	1.4	-8.4
Interest Expenses	120,943.3	54.0	21,129.8	9.3	-82.5
Regulatory Fees and Expenses	1,515.3	0.7	1,494.5	0.7	-1.4
Losses in Error Accounts and Bad Debts	1,415.8	0.6	608.1	0.3	-57.0
All Other Expenses	30,722.1	13.7	31,814.1	14.0	3.6
Total Expenses	\$258,258.6	115.4%	\$159,818.9	70.3%	-38.1%
<u>Income and Profitability</u>					
Pre-tax Income	-\$34,474.7	-15.4%	\$67,614.4	29.7%	-296.1%
Pre-tax Profit Margin	-15.4%		29.7%		
Pre-tax Return on Equity	-24.7%		42.8%		
Number of Firms	514		516		

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

Note: Includes information for firms doing a public business that carry customer accounts or clear securities transactions.

Source: FOCUS Report

Table 11
UNCONSOLIDATED BALANCE SHEET FOR CARRYING/CLEARING
BROKER-DEALERS 1/
(\$ in Millions)

	2008		2009		
	Dollars	Percent of Total Assets	Dollars	Percent of Total Assets	Percent Change 2008-2009
<u>Assets</u>					
Cash	\$121,775.1	2.9%	\$90,228.8	2.2%	-25.9%
Receivables from Other Broker-Dealers	1,401,803.5	33.3	1,442,597.1	34.7	2.9
(a) Securities Failed to Deliver	43,012.2	1.0	62,057.6	1.5	44.3
(b) Securities Borrowed	1,234,867.0	29.3	1,292,939.4	31.1	4.7
(c) Other	123,924.3	2.9	87,600.1	2.1	-29.3
Receivables from Customers	140,964.1	3.3	175,971.4	4.2	24.8
Receivables from Non-customers	21,101.8	0.5	21,956.7	0.5	4.1
Long Positions in Securities and Commodities	1,137,303.5	27.0	1,015,137.0	24.4	-10.7
(a) Bankers Acceptances, Certificates of Deposit and Commercial Paper	67,454.9	1.6	41,508.1	1.0	-38.5
(b) U.S. and Canadian Government Obligations	721,880.1	17.1	585,676.2	14.1	-18.9
(c) State and Municipal Government Obligations	38,646.9	0.9	35,430.0	0.9	-8.3
(d) Corporate Obligations	130,467.3	3.1	162,635.8	3.9	24.7
(e) Stocks and Warrants	109,151.2	2.6	121,357.4	2.9	11.2
(f) Options	29,834.8	0.7	20,812.9	0.5	-30.2
(g) Arbitrage	3,258.6	0.1	9,781.3	0.2	200.2
(h) Other Securities	37,459.7	0.9	37,862.4	0.9	1.1
(i) Spot Commodities	73.7	0.0	369.8	0.0	401.8
Securities and Investments Not Readily Marketable	10,827.4	0.3	25,407.2	0.6	134.7
Securities Purchased Under Agreements to Resell	1,186,011.1	28.2	1,143,322.8	27.5	-3.6
Exchange Membership	291.0	0.0	347.3	0.0	19.3
Other Assets	193,041.9	4.6	241,435.3	5.8	25.1
Total Assets	\$4,213,119.2	100.0%	\$4,156,403.6	100.0%	-1.3%
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$34,941.4	0.8%	\$64,933.5	1.6%	85.8%
Payables to Other Broker-dealers	527,545.9	12.5	595,701.9	14.3	12.9
(a) Securities Failed to Receive	45,319.8	1.1	61,773.5	1.5	36.3
(b) Securities Loaned	432,249.6	10.3	476,284.2	11.5	10.2
(c) Other	49,976.6	1.2	57,644.2	1.4	15.3
Payables to Non-customers	82,868.6	2.0	86,848.1	2.1	4.8
Payables to Customers	665,648.9	15.8	579,542.7	13.9	-12.9
Short Positions in Securities and Commodities	290,041.0	6.9	345,920.4	8.3	19.3
Securities Sold Under Repurchase Agreements	1,992,187.1	47.3	1,768,340.7	42.5	-11.2
Other Non-subordinated Liabilities	341,459.6	8.1	418,021.8	10.1	22.4
Subordinated Liabilities	138,599.4	3.3	120,951.2	2.9	-12.7
Total Liabilities	\$4,073,291.8	96.7%	\$3,980,260.3	95.8%	-2.3%
Equity Capital	\$139,827.4	3.3%	\$176,143.4	4.2%	26.0%
Number of Firms	514		516		

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

Note: Includes information for firms doing a public business that carry customer accounts or clear securities transactions.

Source: FOCUS Report

Table 12
Transaction Activity in Equities, Options, and Security Futures
Market Value of Sales (millions)

Year	Total	Equity Trading	Option Trading	Option Exercises and Futures Deliveries	Security Futures Trading ¹
1991	\$ 2,666,702	\$ 2,590,422	\$ 27,104	\$ 49,177	
1992	\$ 3,148,024	\$ 3,077,507	\$ 26,586	\$ 43,931	
1993	\$ 4,261,937	\$ 4,179,743	\$ 33,779	\$ 48,415	
1994	\$ 4,591,283	\$ 4,501,577	\$ 35,883	\$ 53,823	
1995	\$ 6,321,475	\$ 6,207,746	\$ 50,803	\$ 62,926	
1996	\$ 8,266,339	\$ 8,123,748	\$ 67,862	\$ 74,729	
1997	\$11,692,830	\$11,487,872	\$ 104,535	\$ 100,422	
1998	\$15,164,183	\$14,903,153	\$ 140,261	\$ 120,769	
1999	\$23,218,783	\$22,813,331	\$ 260,294	\$ 145,159	
2000	\$36,275,278	\$35,557,087	\$ 485,106	\$ 233,085	
2001	\$26,138,050	\$25,636,203	\$ 277,549	\$ 224,298	
2002	\$23,028,157	\$22,657,944	\$ 161,278	\$ 208,935	307,169
2003	\$22,737,469	\$22,291,534	\$ 164,085	\$ 281,851	2,501,247
2004	\$27,875,851	\$27,158,223	\$ 222,962	\$ 494,666	2,175,093
2005	\$34,567,580	\$33,222,684	\$ 350,365	\$ 994,531	5,493,850
2006	\$43,940,594	\$41,797,793	\$ 531,302	\$1,611,498	7,793,480
2007	\$66,135,906	\$63,064,287	\$ 860,659	\$2,210,959	7,858,431
2008	\$82,012,446	\$78,653,007	\$1,095,766	\$2,263,674	3,733,682
2009	\$59,849,805	\$57,565,681	\$ 709,842	\$1,574,282	2,728,266

Calendar Year 2009

BATS	\$ 6,523,158	\$ 6,523,158			
BSE	\$ 979,939	\$ 899,779	\$ 24,132	\$ 56,028	
CBOE	\$ 666,587	\$ 137,703	\$ 164,619	\$ 364,265	
CMX	\$ 0			\$0	2,142
CHX	\$ 372,295	\$ 372,295			
FINRA	\$16,347,515	\$16,347,515			
ISE	\$ 1,360,631	\$ 798,155	\$ 172,703	\$ 389,772	
NASDAQ	\$14,401,334	\$14,338,467	\$ 19,371	\$ 43,496	
NSX	\$ 299,973	\$ 299,973			
NYSE	\$ 7,807,055	\$ 7,807,055			
NYSE Amex	\$ 172,289	\$ 18,106	\$ 49,135	\$ 105,048	
NYSE Arca	\$10,382,468	\$10,023,474	\$ 109,773	\$ 249,221	
One Chicago	\$ 4,277			\$ 4,277	2,726,124
Phlx	\$ 532,282		\$ 170,108	\$ 362,174	

Data are the value of all sales of equities and options listed on an exchange or subject to last-sale reporting. Also reported are the value of such options that were exercised, the value of single-stock futures that were delivered, and the number of round turn contracts in single-stock futures traded on an exchange. Specifically excluded are options and futures on indexes.

¹This is the number of round turn contracts, or one purchase and one sale of a contract for future delivery. Security futures began trading in November 2002.

Sources: Form R31 for October 2003 and later months. For September 2003 and earlier months, submissions to the SEC by national securities exchanges, the NASD, and the OCC, and various issues of the Nasdaq Factbook.