# HAWAII STATE ETHICS COMMISSION
# ORGANIZATION'S OR INDIVIDUAL'S EXPENDITURES AND CONTRIBUTIONS REPORT

**FORM ORG**

(To be filed by organizations, employing organizations and individuals other than registered lobbyists)

HAWAII STATE ETHICS COMMISSION
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STATE OF HAWAII
STATE ETHICS COMMISSION

For lobbying reporting period:

[✓] January 1 - last day of February

[ ] March 1 - April 30

[ ] May 1 - December 31

Year of Report 2013

Contact person Kim Chamberlain Phone 212-313-1200

Organization Securities Industry & Financial Markets Association

Mailing Address 120 Broadway, 35th Floor
New York, NY 10271

## PART I. TOTAL EXPENDITURES

The total sum or value of all expenditures for the purpose of lobbying during the statement period was: $ $0.00

### EXPENDITURES

| Category | Total Amount | Category | Total Amount |
|---|---|---|---|
| 1. Preparation & Distribution of Lobbying Materials | | 7. Entertainment & Events | |
| 2. Media Advertising | | 8. Food & Beverages | |
| 3. Telephone and other forms of Telecommunications | | 9. Gifts | |
| 4. Postage | | 10. Loans | |
| 5. Compensation Paid to Lobbyists | $0.00 | 11. Other Disbursements | |
| 6. Fees (other than to Lobbyists) | | TOTAL EXPENDITURES | $0.00 |

### COMPENSATION PAID TO LOBBYISTS

List in this section the names of all lobbyists and compensation paid to the lobbyists during the statement period.

| Name | Address | Compensation paid |
|---|---|---|
| George A. "Red" Morris | 222 South Vineyard Street, Suite 401 | $0.00 |
| | Honolulu, HI 96813-2453 | |
| John H. Radcliffe | 222 South Vineyard Street, Suite 401 | $0.00 |
| | Honolulu, HI 96813-2453 | |
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## EXPENDITURES OF $25 OR MORE PER PERSON PER DAY

List in this section all expenditures incurred for the purpose of lobbying of $25 or more per person per day during the statement period.

☑ This section is not applicable

☐ Expenditures incurred in the total sum of $25 or more per person per day were made for the following persons:

| Name & Address | Amount or value |
|---|---|
| | |
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| | |

## AGGREGATE EXPENDITURES OF $150 OR MORE PER PERSON

List in this section all expenditures incurred for the purpose of lobbying in the total sum of $150 or more per person during the statement period.

☑ This section is not applicable

☐ Expenditures incurred in the aggregate of $150 or more per person were made for the following persons:

| Name & Address | Amount or value |
|---|---|
| | |
| | |
| | |
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## PART II. CONTRIBUTIONS RECEIVED

List in this section all contributions received for the purpose of lobbying in the total sum of $25 or more per person during the statement period.

☑ This section is not applicable

☐ Contributions received in the total sum of $25 or more per person were received from the following persons:

| Name & Address | Amount or value |
|---|---|
| | |
| | |
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## PART III. SUBJECT AREAS OF LOBBYING

Legislative and/or administrative action in the following areas was supported or opposed during the statement period:

| | | | |
|---|---|---|---|
| ☐ Agriculture | ☐ Education | ☐ Human Services | ☐ Science, Technology & Economic Development |
| ☐ Communications & Public Utilities | ☑ Government Operation & Finance | ☑ Intergovernmental Relations, International Affairs | ☐ Tourism & Recreation |
| ☑ Consumer Protection & Commerce | ☐ Hawaiian Affairs | ☐ Labor & Employment | ☐ Transportation |
| ☐ Culture, Arts, Historic Preservation | ☐ Health | ☐ Planning, Land & Water Use Management | ☐ Other: (indicate below) |
| ☐ Ecology, Energy Environmental Protection | ☐ Housing | ☐ Public Safety & Corrections | |

I hereby certify that the statements made above are correct and complete to the best of my knowledge

Kim Chamberlain — March 12, 2013

(Signature of authorized person) (Date)

Name of authorized person (type or print) Kim Chamberlain

Title of authorized person Managing Director and Counsel

Associate General