FORM
ORG
(Rev. 5/2013)

Hawaii State Ethics Commmission Received
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HAWAII STATE ETHICS COMMISSION
ORGANIZATION'S EXPENDITURES AND CONTRIBUTIONS REPORT

REPORT YEAR: 2013 ☐ **Amended Statement**

For Lobbying Reporting Period: ☐ *January 1 - last day of February* ☐ *March 1 - April 30* ☑ *May 1 - December 31*

ORGANIZATION INFORMATION

SECURITIES INDUSTRY & FINANCIAL MARKET ASSO
Organization Name

KIM CHAMBERLAIN
Contact Person

120 BROADWAY, 35TH FLOOR
Mailing Address *(Number and Street or P.O. Box)*

NEW YORK
City

NY
State

10271
Zip Code

(212) 313-1200
Telephone

Extension

kchamberlain@sifma.org
Email Address

PART I. TOTAL EXPENDITURES

			Total Amount
1	Preparation & Distribution of Lobbying Materials	1	0.00
2	Media Advertising	2	0.00
3	Postage	3	0.00
4	Compensation Paid to Lobbyists ***(Attached Additional Sheets As Needed)***		

List the names of all lobbyists and compensation paid to lobbyists during the statement period

Lobbyist Name	Compensation Paid
A. George A. "Red" Morris	A. 2094.24
B. John H. Radcliffe	B. 2094.24
C.	C.
D.	D.
E.	E.
F.	F.
G. Total from Additional Attached Sheet(s)	G.

	Add lines A through G	Total Compensation Paid ► 4	4,188.48
5	Fees Paid to Consultants (other than to Lobbyists)	5	0
6	Entertainment & Events	6	0
7	Receptions, Meals, Food & Beverages	7	0
8	Gifts	8	0
9	Loans	9	0
10	Other Disbursements	10	0
	Add lines 1 through 10	**Total Expenditures ►**	4,188.48

EXPENDITURES OF $25 OR MORE PER PERSON PER DAY

Name and address of each person with respect to whom expenditures for the purpose of lobbying in the total sum of $25 or more in any single calendar day was made and amount or value of expenditures.

Name & Address	Amount or Value
n/a	

☐ **Check here if additional sheets are attached**

AGGREGATE EXPENDITURES OF $150 OR MORE PER PERSON

Name and address of each person with respect to whom expenditures for the purpose of lobbying in the aggregate of $150 or more was made during the statement period and amount or value of expenditures.

Name & Address	Amount or Value
n/a	

☐ **Check here if additional sheets are attached**

PART II. CONTRIBUTIONS RECEIVED

Name and address of each person making contributions to the filer for purposes of lobbying in the total sum of $25 or more during the statement period and the amount or value of such contribution.

Name & Address	Amount or Value
n/a	

☐ **Check here if additional sheets are attached**

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	_____

AUTHORIZED PERSON

KIM CHAMBERLAIN	MANAGING DIRECTOR	1/13/2014
Print Name of Authorized Person *(First M.I. Last)*	Title	Date *(m/d/yyyy)*

☑ **CERTIFICATION:** By checking this box, you signify and affirm that you are the person whose name appears as the "Authorized Person" above and the information contained in the form is true, correct and complete to the best of your knowledge and belief. You further certify that you understand that there are statutory penalties for failing to report the information required by Hawaii law.