

SELECT SEC AND MARKET DATA FISCAL 2009

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Table 1
ENFORCEMENT MILESTONES
FISCAL 2009

<ul style="list-style-type: none"> • Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$2.09 billion and to pay penalties of approximately \$345 million.
<ul style="list-style-type: none"> • Sought orders barring 90 defendants and respondents from serving as officers or directors of public companies.
<ul style="list-style-type: none"> • Sought emergency relief from federal courts in the form of temporary restraining orders (TROs) to halt ongoing fraudulent conduct in 71 actions, and sought asset freezes in 82 actions.
<ul style="list-style-type: none"> • Filed 5 actions to enforce investigative subpoenas.
<ul style="list-style-type: none"> • Halted trading in securities of 192 issuers about which there was inadequate public disclosure.

In SEC-related criminal cases, prosecutors filed indictments, informations, or contempts in Fiscal 2009 in 154 cases.

Table 2
Enforcement Action Summary Chart
for Fiscal Year 2009 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
Issuer Reporting and Disclosure	68 (128)	75 (83)	143 (211)	22%
Broker-Dealer	26 (77)	83 (105)	109 (182)	16%
Investment Advisors	29 (171)	47 (56)	76 (227)	11%
Securities Offering Cases	106 (475)	35 (37)	141 (512)	21%
Delinquent Filings	0 (0)	92 (417)	92 (417)	14%
Insider Trading Cases	31 (77)	6 (8)	37 (85)	6%
Market Manipulation Cases	34 (104)	5 (6)	39 (110)	6%
Civil Contempt	15 (24)	0 (0)	15 (24)	2%
Municipal Offering	0 (0)	2 (3)	2 (3)	.3%
Transfer Agent	0 (0)	3 (3)	3 (3)	.4%
Investment Companies	1 (5)	4 (4)	5 (9)	1%
Miscellaneous Cases	2 (4)	0 (0)	2 (4)	.3%
TOTALS	312 (1065)	352 (722)	664 (1787)	100%

Table 3
FISCAL 2009 ENFORCEMENT CASES
LISTED BY PROGRAM AREA

Name of Case	Release No.	Date Filed
Broker-Dealer		
SEC v. Kederio Ainsworth, et al.	LR-20768	10/03/08
In the Matter of Stewart Kalter	34-58787	10/15/08
In the Matter of Lazard Capital Markets LLC	34-58880	10/30/08
In the Matter of Louis Gregory Rice	34-58881	10/30/08
In the Matter of Robert A. Ward	34-58882	10/30/08
In the Matter of David L. Tashjian	34-58883	10/30/08
In the Matter of W. Daniel Williams	34-58884	10/30/08
In the Matter of Dennis K. McNell	34-59016	11/25/08
SEC v. Citigroup Global Markets, Inc.	LR-20824	12/11/08
SEC v. UBS Securities LLC, et al.	LR-20824	12/11/08
In the Matter of Gary J. Gross	34-59090	12/12/08
In the Matter of David Lee	34-59107	12/16/08
In the Matter of Milkie/Ferguson Investments, Inc., et al.	33-8990	12/17/08
In the Matter of Michael J. Park	34-59116	12/18/08
In the Matter of John M. Lucarelli	34-59124	12/19/08
In the Matter of William Edward Sears	34-59131	12/22/08
In the Matter of Patricia Jean Sears-Million	34-59132	12/22/08
In the Matter of Robert L. Flickinger II	34-59195	01/05/09
In the Matter of Mark E. Salyer	34-59227	01/12/09
In the Matter of Peter J. Dawson	34-59232	01/12/09
In the Matter of Paul G. Risoli	34-59242	01/13/09
In the Matter of Joseph Lando	34-59241	01/13/09
In the Matter of Peter Sherlock	34-59239	01/13/09
In the Matter of Jarrod W. McMillin	34-59263	01/16/09
In the Matter of Robert Johnson	34-59301	01/27/09
SEC v. Wachovia Securities, LLC	LR-20885	02/05/09
In the Matter of Ferris, Baker Watts, Inc.	34-59372	02/10/09
In the Matter of Stephen J. Glantz	34-59373	02/10/09
In the Matter of William H. Salem	34-59374	02/10/09
In the Matter of Patrick J. Vaughan	34-59375	02/10/09
In the Matter of Randall W. Banks	34-59408	02/13/09
In the Matter of SG Americas Securities, LLC, et al.	34-59401	02/13/09
In the Matter of Oppenheimer & Co., Inc.	34-59438	02/24/09
In the Matter of Leumi Investment Services, Inc.	34-59437	02/24/09
In the Matter of RBC Capital Markets Corporation	34-59439	02/24/09
SEC v. Victor P. Machado, et al.	LR-20909	02/24/09
In the Matter of Knight Financial Products, LLC	34-59504	03/04/09
In the Matter of Goldman Sachs Execution & Clearing, L.P., et al.	34-59505	03/04/09
In the Matter of Botta Capital Management, LLC	34-59501	03/04/09
In the Matter of Equitec Proprietary Markets, LLC	34-59502	03/04/09
In the Matter of Group One Trading, LP	34-59503	03/04/09

Name of Case	Release No.	Date Filed
In the Matter of Susquehanna Investment Group	34-59506	03/04/09
In the Matter of TD Options LLC	34-59507	03/04/09
In the Matter of Victor P. Machado	34-59513	03/05/09
In the Matter of Frank Lu	34-59514	03/05/09
In the Matter of M. Grant Bettingen	34-59532	03/06/09
In the Matter of Grant Bettingen, Inc.	34-59533	03/06/09
In the Matter of Christopher J. Johndrow	33-9012	03/06/09
In the Matter of Merrill Lynch, Pierce, Fenner, & Smith Inc.	34-59555	03/11/09
SEC v. Brian Travis, et al.	LR-20948	03/12/09
SEC v. Automated Trading Desk Specialists, LLC	LR-20953	03/13/09
SEC v. E*Trade Capital Markets LLC	LR-20952	03/13/09
SEC v. Melvin Securities, LLC, et al.	LR-20952	03/13/09
SEC v. Sydan, LP	LR-20952	03/13/09
SEC v. TradeLink, LLC	LR-20952	03/13/09
SEC v. David Scott Cacchione	LR-20970	03/24/09
In the Matter of Brian P. Corbett	34-59640	03/27/09
In the Matter of Michael L. Silver	34-59639	03/27/09
In the Matter of Deborah Galas	34-59670	04/01/09
In the Matter of Thomas Brick	34-59671	04/01/09
In the Matter of Michael W. Crow, et al.	34-59711	04/06/09
In the Matter of Woodbury Financial Services, Inc.	34-59740	04/09/09
In the Matter of GLB Trading, Inc., et al.	34-59765	04/14/09
SEC v. David A. Williams, et al.	LR-21007	04/20/09
In the Matter of David Scott Cacchione	34-59812	04/22/09
In the Matter of Brad E. Parish	34-59831	04/28/09
In the Matter of Royal Alliance Associates, Inc.	34-59830	04/28/09
In the Matter of Paul M. Gozzo	34-59849	04/30/09
In the Matter of Daryl L. Batts	34-59958	05/21/09
In the Matter of Phillip J. Milligan	34-59970	05/22/09
In the Matter of Bradley E. Morgan	34-59988	05/27/09
SEC v. William Betta, Jr., et al.	LR-21061	05/28/09
In the Matter of Thomas S. Blackwell	33-9035	05/29/09
In the Matter of Dustin J. Lunt	33-9036	05/29/09
In the Matter of Douglas F. Samuels	34-60027	06/02/09
SEC v. Banc of America Securities LLC, et al.	LR-21066	06/03/09
SEC v. Deutsche Bank Securities Inc.	LR-21066	06/03/09
RBC Capital Markets Corporation	LR-21066	06/03/09
SEC v. Aura Financial Services, Inc., et al.	LR-21081	06/12/09
In the Matter of Ravi Yanamadula	34-60111	06/15/09
SEC v. Stanford International Bank, et al.	LR-21092	06/19/09
SEC v. FTC Capital Markets, Inc., et al.	LR-21093	06/22/09
In the Matter of Ruben Serrano	34-60157	06/22/09
SEC v. Gary S. Becker, et al.	LR-21100	06/23/09
In the Matter of Prime Capital Services, Inc., et al.	33-9047	06/30/09
In the Matter of Danny E. Landau	33-9048	07/06/09
SEC v. Sky Capital LLC, et al.	LR-21120	07/08/09
In the Matter of Ameriprise Financial Services, Inc.	33-9051	07/10/09
In the Matter of J.P. Turner & Company, LLC	34-60325	07/17/09
In the Matter of Stephen Cheryl Bauman	34-60326	07/17/09
In the Matter of TD Ameritrade, Inc.	33-9053	07/20/09

Name of Case	Release No.	Date Filed
SEC v. Deborah Duffy	LR-21144	07/21/09
SEC v. Morgan Keegan & Company, Inc.	LR-21143	07/21/09
In the Matter of Keevin H. Leonard, et al.	34-60417	08/03/09
SEC v. Bank of America Corp.	LR-21164	08/03/09
In the Matter of Alain Lustig	34-60449	08/05/09
In the Matter of TJM Proprietary Trading, LLC, et al.	34-60440	08/05/09
SEC v. Vladimir Chekholko	LR-21172	08/06/09
In the Matter of AXA Advisors, LLC	34-60480	08/11/09
In the Matter of CentreInvest, Inc., et al.	34-60485	08/12/09
In the Matter of Robert J. Zannotti	33-9060	08/12/09
In the Matter of Lightspeed Trading LLC	34-60540	08/19/09
In the Matter of Deborah Duffy	34-60543	08/19/09
In the Matter of Jose Daniel Iriarte, Jr.	34-60599	09/01/09
In the Matter of Ronald E. Hardy, Jr.	34-60615	09/02/09
In the Matter of Louis J. Akers	34-60628	09/04/09
In the Matter of Jamie P. Lake	34-60632	09/08/09
In the Matter of United Global Securities, Inc., et al.	33-9066	09/29/09
In the Matter of Commonwealth Equity Services, LLP	34-60733	09/29/09

Civil Contempt

SEC v. CRE Capital Corporation, et al.	LR-20932	03/06/09
SEC v. Jeffrey G. Turino	LR-21094	06/22/09
SEC v. John S. Morgan, et al.	None	07/07/09
SEC v. John J. Bravata, et al.	LR-21214	09/21/09
SEC v. George L. Theodule	None	
SEC v. Kermit Silva, et al.	None	
SEC v. Thanh Viet "Jeremy" Cao	None	
SEC v. Yuail I. Enwia	None	
SEC v. Michael Howard Reed	None	
SEC v. Cort L. Poyner	None	
SEC v. Daren L. Palmer	None	
SEC v. Mohit A. Khanna	None	
SEC v. James L. Solow	None	
SEC v. Adley H. Abdulwahab, et al.	None	
SEC v. John C. Jenkins	None	

Delinquent Filing: Issuer Reporting

In the Matter of Inphonic, Inc. (n/k/a INP Liquidation, Corp.)	34-58922	11/10/08
In the Matter of Graystone World Wide, Inc., et al.	34-59103	12/15/08
In the Matter of NeoTactix Corporation	34-59100	12/15/08
In the Matter of 2 I, Inc., et al.	34-59156	12/23/08
In the Matter of Baldwin Piano & Organ Co., et al.	34-59215	01/08/09
In the Matter of American Custom Components, Inc., et al.	34-59245	01/14/09
In the Matter of The JPM Company, et al.	34-59316	01/29/09
In the Matter of Pacific Industrial Corp., et al.	34-59444	02/25/09
In the Matter of Minex Resources, Inc., et al.	34-59526	03/06/09
In the Matter of BBJ Environmental Technologies, Inc.	34-59535	03/09/09
In the Matter of Headliners Entertainment Group, Inc.	34-59554	03/11/09

Name of Case	Release No.	Date Filed
In the Matter of Leading Edge Packagaing, Inc., et al.	34-59564	03/12/09
In the Matter of Chemfix Technologies, Inc., et al.	34-59583	03/17/09
In the Matter of Janex International, Inc., et al.	34-59619	03/23/09
In the Matter of Lambert Communications, Inc., et al.	34-59625	03/25/09
In the Matter of Jansko, Inc., et al.	34-59624	03/25/09
In the Matter of L Rex International, Inc., et al.	34-59732	04/08/09
In the Matter Global 1 Investment Holding Corp.	34-59730	04/08/09
In the Matter of Carlyle Gaming & Entertainment Ltd., et al.	34-59731	04/08/09
In the Matter of IDM Participating Income Co., et al.	34-59809	04/22/09
In the Matter of Aegis Consumer Funding Group, Inc., et al.	34-59810	04/22/09
In the Matter of IAC Holdings, Inc.	34-59833	04/28/09
In the Matter of Childrobics, Inc., et al.	34-59851	04/30/09
In the Matter of Xino Corp., et al.	34-59862	05/05/09
In the Matter of Poseidis, Inc.	34-59897	05/11/09
In the Matter of Fortel, Inc. (n/k/a Envit Capital Group, Inc.)	34-59901	05/12/09
In the Matter of Core Technologies Pennsylvania, Inc., et al.	34-59910	05/13/09
In the Matter of FrontLine Capital Group	34-59911	05/13/09
In the Matter of Large Scale Biology Corporation	34-59909	05/13/09
In the Matter of X-Ramp.com, Inc., et al.	34-59936	05/18/09
In the Matter of F&C International, Inc., et al.	34-59938	05/19/09
In the Matter of Act Manufacturing Inc., et al.	34-59969	05/22/09
In the Matter of I Incubator.com, Inc., et al.	34-60013	06/01/09
In the Matter of Lexington Rsources, Inc.	34-60042	06/04/09
In the Matter of Powercold Corporation	34-60051	06/05/09
In the Matter of Wade Cook Financial Corp., et al.	34-60058	06/08/09
In the Matter of I.A. Europe Group, Inc., et al.	34-60082	06/10/09
In the Matter of Today's Man, Inc., et al.	34-60097	06/11/09
In the Matter of Global Matrechs, Inc.	34-60142	06/19/09
In the Matter of Hamilton Digital Controls, Inc., et al.	34-60145	06/19/09
In the Matter of Nanosignal Corp., et al.	34-60141	06/19/09
In the Matter of FCF, Inc., et al.	34-60161	06/23/09
In the Matter of Advanced Monitoring Systems, Inc., et al.	34-60228	07/02/09
In the Matter of Falcon Entertainment Corp., et al.	34-60230	07/02/09
In the Matter of Total Film Group, Inc., et al.	34-60250	07/07/09
In the Matter of Xentel Interactive, Inc., et al.	34-60294	07/13/09
In the Matter of Voip, Inc.	34-60300	07/14/09
In the Matter of National Micronetics, Inc., et al.	34-60299	07/14/09
In the Matter of H-Entertainment, Inc., et al.	34-60303	07/14/09
In the Matter of Pegasus Wireless Corporation	34-60301	07/14/09
In the Matter of Paivis Corp., et al.	34-60302	07/14/09
In the Matter of Royal Spring Water, Inc.	34-60357	07/21/09
In the Matter of Toltec Real Estate Corp., et al.	34-60355	07/21/09
In the Matter of Keystone Ventures, Inc.	34-60350	07/21/09
In the Matter of Standard Metals Corporation	34-60369	07/23/09
In the Matter of Warehouse Club, Inc., et al.	34-60404	07/30/09
In the Matter of I Join Systems, Inc., et al.	34-60411	07/31/09
In the Matter of Absolute Entertainment, Inc., et al.	34-60434	08/05/09
In the Matter of Freehand Systems International, Inc.	34-60453	08/06/09
In the Matter of N.U. Pizza Holding Corp., et al.	34-60467	08/10/09
In the Matter of Atmospheric Glow Technologies, Inc.	34-60470	08/11/09

Name of Case	Release No.	Date Filed
In the Matter of iWorld Projects & Systems, Inc.	34-60502	08/14/09
In the Matter of Xstream Mobile Solutions Corp.	34-60523	08/18/09
In the Matter of Entrade, Inc.	34-60533	08/19/09
In the Matter of Harvard Scientific Corp., et al.	34-60564	08/25/09
In the Matter of Conversion Solutions Holdings Corp.	34-60577	08/27/09
In the Matter of Value Merchants, Inc., et al.	34-60583	08/28/09
In the Matter of Aleritas Capital Corp.	34-60580	08/28/09
In the Matter of Brooke Corporation, et al.	34-60581	08/28/09
In the Matter of RDM Sports Group, Inc., et al.	34-60588	08/31/09
In the Matter of Universal Express, Inc.	34-60616	09/03/09
In the Matter of New York Broker Deutschland AG	34-60623	09/03/09
In the Matter of What's For Free Technologies, Inc., et al.	34-60626	09/04/09
In the Matter of Action Auto Rental, Inc., et al.	34-60631	09/08/09
In the Matter of National Tire Services, Inc., et al.	34-60638	09/09/09
In the Matter of Pacific International Enterprises, Inc., et al.	34-60652	09/11/09
In the Matter of Consolidated Resources Group, Inc.	34-60677	09/16/09
In the Matter of Tops Appliance City, Inc., et al.	34-60682	09/17/09
In the Matter of V-Twin Holdings, Inc., et al.	34-60685	09/18/09
In the Matter of Polar Molecular Holding Corp.	34-60702	09/21/09
In the Matter of Magnum Resources, Inc., et al.	34-60703	09/22/09
In the Matter of Pacific Lease Group, Inc.	34-60709	09/23/09
In the Matter of DTVN Holdings, Inc., et al.	34-60714	09/24/09
In the Matter of Warwick Insurance Managers, Inc., et al.	34-60723	09/25/09
In the Matter of TVI Corporation	34-60724	09/28/09
In the Matter of Consumers Financial Corporation	34-60729	09/29/09
In the Matter of Torque Engineering Corp., et al.	34-60740	09/29/09
In the Matter of Universal Food & Beverage Co.	34-60731	09/29/09
In the Matter of National Venture Capital Fund, Inc., et al.	34-60734	09/29/09
In the Matter of Regeena Resources, Inc., et al.	34-60742	09/29/09
In the Matter of Pathnet Telecommunications, Inc., et al.	34-60748	09/30/09
In the Matter of Redheads Inc., et al.	34-60747	09/30/09

Insider Trading

SEC v. Francis Elias Axiaq, et al.	LR-20774	10/07/08
SEC v. Brian D. Ladin, et al.	LR-20784	10/20/08
SEC v. Brett C. Maas	LR-20789	10/23/08
SEC v. Jonathan Wilson	LR-20805A	11/13/08
SEC v. Mark Cuban	LR-20810	11/17/08
SEC v. Matthew C. Devlin, et al.	LR-20831	12/18/08
In the Matter of Kevin J. Heron	34-59240	01/13/09
SEC v. Aaron S. Cooksey	LR-20863A	01/22/09
SEC v. Ramesh Chakrapani	LR-20884	02/05/09
SEC v. Nicos Achilleas Stephanou, et al.	LR-20884	02/05/09
In the Matter of Hafiz Naseem	34-59367	02/06/09
In the Matter of Matthew E. Kopsky	34-59568	03/12/09
SEC v. Michael Biello	LR-20953A	03/13/09
SEC v. William M. Gallahair	LR-21005	04/17/09
SEC v. Matthew J. Browne	LR-21015	04/28/09
Maheer F. Kara, et al.	LR-21020	04/30/09

Name of Case	Release No.	Date Filed
SEC v. Joseph Azar	LR-21020	04/30/09
SEC v. Nasser Mardini	LR-21020	04/30/09
SEC v. Jon-Paul Rorech, et al.	LR-21023	05/05/09
In the Matter of Matthew J. Browne, Attorney	34-59960	05/21/09
In the Matter of David G. Ghysels, et al.	34-59957	05/21/09
SEC v. Tajyar, et al.	LR-21069	06/04/09
SEC v. Robert L. Hollier, et al.	LR-21072	06/08/09
SEC v. Phillip MacDonald, et al.	LR-21079	06/10/09
In the Matter of Mitchel S. Guttenberg	34-60119	06/16/09
SEC v. Kevan D. Acord, et al.	LR-21132	07/15/09
SEC v. Anthony Perez and et al.	LR-21133	07/15/09
SEC v. Math J. Hipp, Jr.	LR-21133	07/15/09
SEC v. Carl E. Binette, et al.	LR-21133	07/15/09
SEC v. Andres Leyva	LR-21140	07/20/09
SEC v. Khaled Mohammed Sharif Al Sayed Al Hashemi	LR-21154	07/27/09
SEC v. Nancy Jewell, et al.	LR-21183	08/24/09
SEC v. Sarath B. Gangavarapu	LR-21191	08/31/09
SEC v. Jeff L. Soisson, et al.	LR-21201	09/09/09
SEC v. Allen W. Moss	LR-21209	09/14/09
SEC v. Reza Saleh, et al.	LR-21221	09/24/09
SEC v. Melissa A. Mahler	None	

Investment Advisor

In the Matter of Sterling Capital Planners, Inc.	IA-2797	10/08/08
In the Matter of Battery Wealth Management, Inc., et al.	IA-2800	10/15/08
In the Matter of James L. Demers	34-58798	10/16/08
In the Matter of MedCap Management & Research LLC, et al.	IA-2802	10/16/08
In the Matter of Don Warner Reinhard	34-58865	10/27/08
SEC v. J.C. Reed & Company, Inc., et al.	LR-20813	11/19/08
In the Matter of Stephen L. Hochberg, CPA	34-59018	11/25/08
In the Matter of Thomas J. Smith	IA-2810	11/25/08
In the Matter of William J. Del Biaggio III	IA-2824	12/29/08
In the Matter of Diane M. Keefe	IA-2828	01/13/09
SEC v. Arthur Nadel, et al.	LR-20858	01/21/09
In the Matter of Merrill Lynch, Pierce, Fenner & Smith Inc.	IA-2834	01/30/09
In the Matter of Jeffrey Swanson	IA-2835	01/30/09
SEC v. Bernard L. Madoff, et al.	LR-20889	02/09/09
SEC v. Grant Ivan Grieve, et al.	LR-20893	02/10/09
SEC v. UBS AG	LR-20905	02/18/09
SEC v. WG Trading Investors, L.P., et al.	LR-20912	02/25/09
In the Matter of Ross Owen Haugen	34-59458	02/26/09
In the Matter of M.A.G. Capital, LLC, et al.	IA-2849	03/02/09
SEC v. James M. Nicholson, et al.	LR-20924	03/04/09
SEC v. Locke Capital Management, Inc., et al.	LR-20936	03/09/09
SEC v. Albert K. Hu, et al.	LR-20962A	03/18/09
SEC v. The Nutmeg Group, LLC, et al.	LR-20972	03/25/09
In the Matter of Matthew LaMadrid	IA-2857	03/26/09
In the Matter of Alberto W. Vilar, et al.	IA-2859A	03/27/09
In the Matter of Jason G. Burks	34-59644	03/27/09

Name of Case	Release No.	Date Filed
In the Matter of Glenn Manterfield	IA-2865	04/10/09
SEC v. Crossroads Financial Planning, Inc., et al.	LR-20996	04/10/09
SEC v. Isaac I. Ovid, et al.	LR-20998	04/14/09
SEC v. Edward T. Stein, et al.	LR-21002	04/15/09
In the Matter of American Skandia Investment Services Inc.	IA-2867	04/17/09
SEC v. Donald Anthony Walker Young, et al.	LR-21006	04/20/09
In the Matter of Hennessee Group LLC, et al.	IA-2871	04/22/09
SEC v. Founding Partners Capital Management Company, et al.	LR-21010	04/23/09
SEC v. Bradley L. Ruderman, et al.	LR-21017	04/29/09
In the Matter of John H. Lohmeier	IA-2873	05/07/09
In the Matter of Intech Investment Management LLC, et al.	IA-2872	05/07/09
SEC v. Henry Morris, et al.	LR-21036	05/12/09
In the Matter of Wealthwise, LLC, et al.	34-59931	05/15/09
SEC v. Gregg Thomas Rennie	LR-21043	05/18/09
SEC v. Wealth Management LLC, et al.	LR-21055	05/21/09
In the Matter of Barrett N. Wissman	34-59971	05/22/09
SEC v. Gendreau & Associates, Inc., et al.	LR-21057	05/26/09
In the Matter of New York Life Investment Management LLC	IA-2883	05/27/09
In the Matter of J. David Huber	IA-2884	05/28/09
In the Matter of Melissa M. Hurley	IA-2885	05/28/09
In the Matter of Michael A. Callaway	34-60071	06/08/09
In the Matter of Evergreen Investment Management Company, LLC, et al.	34-60059	06/08/09
In the Matter of Raymond Thomas	IA-2891	06/10/09
SEC v. Matthew D. Weitzman	LR-21078	06/10/09
In the Matter of Bernard L. Madoff	34-60118	06/16/09
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SEC v. Mohit A. Khanna, et al.	LR-21181	08/20/09
In the Matter of Albert J. Rasch, Jr., Esq.	34-60557	08/21/09
In the Matter of Kathleen R. Novinger, Esq.	34-60558	08/21/09
SEC v. Darrel West, et al.	LR-21182	08/21/09
SEC v. Ben-Wal Leasing Company, et al.	LR-21188	08/27/09
SEC v. William Graulich, IV, et al.	LR-21186	08/27/09
SEC v. David A. Souza, et al.	LR-21191	08/31/09
SEC v. Doyle Scott Elliott, et al.	LR-21197	09/03/09
SEC v. Jeffrey L. Mowen, et al.	LR-21196	09/03/09
SEC v. Philip G. Barry, et al.	LR-21199	09/08/09
SEC v. Sidney S. Hanson, et al.	LR-21198	09/08/09
SEC v. Robert D. Falor, et al.	LR-21208	09/11/09
SEC v. Tony E. Morrison, et al.	LR-21212	09/16/09
In the Matter of Regions Bank	33-9065	09/21/09
SEC v. Regions Bank	LR-21215	09/21/09
SEC v. David L. Hersh	LR-21218	09/22/09
SEC v. ConnectAJet.com, Inc., et al.	LR-21220	09/23/09
SEC v. Maximum Return Investments, Inc., et al.	LR-21225	09/28/09
SEC v. George Wesley Harris, et al.	LR-21226	09/28/09
SEC v. Frank Bluestein	LR-21223	09/28/09
SEC v. 3001 AD, LLC, et al.	LR-21227	09/29/09
SEC v. K&L International Enterprises, Inc., et al.	LR-21231	09/30/09
SEC v. William A. Huber, et al.	LR-21230	09/30/09
SEC v. Hedgelender LLC, et al.	LR-21234	10/01/09
SEC v. Irwin Boock, et al.	LR-21243	10/08/09

Name of Case	Release No.	Date Filed
Transfer Agent		
In the Matter of Ronald B. Hogan	34-58907	11/06/08
In the Matter of Karnig H. Durgarian, Jr.	34-58908	11/06/08
In the Matter of Donald F. McCracken	34-60308	07/15/09

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

Pending as of October 1, 2008.....	4,088*
Opened in Fiscal Year 2009	944
Total.....	5,032
Closed in Fiscal Year 2009.....	716
 Pending as of September 30, 2009	 4,316
 Formal Orders of Investigation	
Issued in Fiscal Year 2009.....	496

* * * * *

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 RFP)] 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 one subpoena 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 RFP:

Section 1104 (Customer Authorizations)	16
Section 1105 (Administrative Subpoenas)	423
Section 1107 (Judicial Subpoenas)	37
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.

Table 5

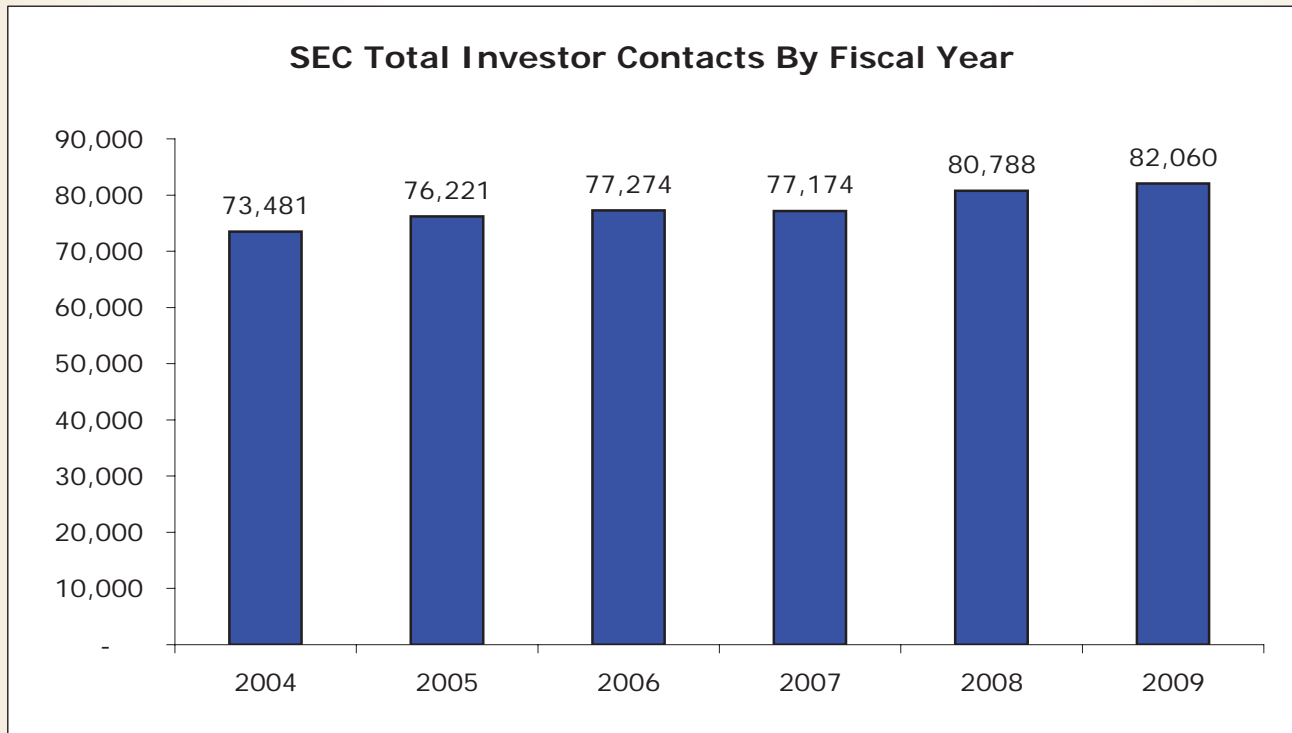


Table 6
TEN MOST COMMON COMPLAINTS

	Complaint Type	FY 2009	FY 2008	Change	Rank in 2008
1	Account Closing: Problems with Redemption, Liquidation or Closing	1,393	867	Up 61%	6
2	Short Selling	1,301	1,735	Down 25%	1
3	Theft of Funds or Securities	1,283	589	Up 118%	10
4	Manipulation of Securities, Prices or Markets	1,201	910	Up 32%	4
5	Advance Fee Fraud (Securities Related)	1,170	1,532	Down 24%	2
6	Misrepresentations: Inaccurate or Incomplete Disclosures	1,137	1,130	Up 1%	3
7	Retirement Plans or 401(k) Plans	903	959	Down 6%	N/A
8	Bankruptcy/Issuer Reorganization	822	561	Up 47%	N/A
9	Delivery of Funds or Proceeds	808	710	Up 14%	8
10	Failure to Disclose Relevant Information about Investments	769	785	Down 2%	7

Table 7
UNCONSOLIDATED FINANCIAL INFORMATION FOR BROKER-DEALERS
2004 - 2008 1/
(\$ in Millions)

	2004	2005	2006	2007	2008
<u>Revenues</u>					
Securities Commissions	\$ 47,569.0	\$ 46,803.2	\$ 49,671.4	\$ 54,371.6	\$ 55,168.5
Gains (Losses) in Trading and Investment Accounts	30,669.9	30,681.0	55,193.1	4,132.1	-55,305.0
Profits (Losses) from Underwriting and Selling Groups	19,099.0	19,877.7	23,623.2	26,502.7	16,330.9
Margin Interest	6,983.7	13,269.8	23,689.5	32,293.0	18,134.0
Revenues from Sale of Investment Company Shares	18,549.9	20,698.8	23,346.0	26,227.5	22,082.1
All Other Revenues	120,058.2	201,170.5	282,940.6	352,990.0	240,180.2
Total Revenues	\$242,929.6	\$332,501.1	\$458,463.7	\$496,516.9	\$296,590.8
<u>Expenses</u>					
Registered Representatives' Compensation (Part II Only) 2/	\$ 29,973.4	\$ 31,712.5	\$ 36,606.7	\$ 38,714.6	\$ 34,956.4
Other Employee Compensation and Benefits	50,018.6	53,771.0	63,151.3	63,872.0	56,256.1
Compensation to Partners and Voting Stockholder Officers	3,488.2	3,329.9	3,623.8	3,718.4	3,808.5
Commissions and Clearance Paid to Other Brokers	17,374.6	18,645.3	21,980.5	25,890.6	26,398.3
Interest Expenses	59,726.0	140,239.9	226,146.5	282,238.7	122,712.6
Regulatory Fees and Expenses	1,670.2	1,787.7	1,906.3	2,043.2	1,987.8
All Other Expenses 2/	57,489.7	61,830.8	66,481.3	74,978.6	74,026.6
Total Expenses	\$219,740.7	\$311,317.0	\$419,896.5	\$491,456.0	\$320,146.3
<u>Income and Profitability</u>					
Pre-tax Income	\$ 23,188.9	\$21,184.1	\$ 38,567.2	\$ 5,060.9	-\$23,555.5
Pre-tax Profit Margin	9.5%	6.4%	8.4%	1.0%	-7.9%
Pre-tax Return on Equity	15.0%	13.1%	22.1%	2.7%	-12.8%
<u>Assets, Liabilities and Capital</u>					
Total Assets	\$4,830,925.7	\$5,215,073.0	\$6,221,520.8	\$6,777,335.6	\$4,441,382.6
Liabilities					
(a) Unsubordinated Liabilities	4,584,567.8	4,952,054.3	5,930,650.0	6,439,951.4	4,118,697.2
(b) Subordinated Liabilities	86,665.6	98,912.6	106,241.0	150,895.3	141,803.9
(c) Total Liabilities	\$4,671,233.4	\$5,050,966.9	\$6,036,891.0	\$6,590,846.7	\$4,260,501.1
Ownership Equity	\$159,692.3	\$164,106.1	\$184,629.7	\$186,488.9	\$180,881.5
Number of Firms	6,284	6,016	5,808	5,562	5,178

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
2004 - 2008 1/
(\$ in Millions)

	2004	2005	2006	2007	2008
<u>Revenues</u>					
Securities Commissions	\$ 46,811.5	\$ 46,246.4	\$ 49,159.8	\$ 53,946.1	\$ 54,724.8
Gains (Losses) in Trading and Investment Accounts	26,045.4	25,931.9	48,217.5	-2,964.0	-61,890.7
Profits (Losses) from Underwriting and Selling Groups	19,099.0	19,879.2	23,627.9	26,502.7	16,330.9
Margin Interest	6,924.4	13,246.0	23,687.7	32,286.9	18,134.7
Revenues from Sale of Investment Company Shares	18,549.9	20,698.9	23,346.0	26,227.5	22,081.8
All Other Revenues	117,602.0	195,297.6	272,325.1	339,802.4	232,150.0
Total Revenues	\$235,032.3	\$321,300.0	\$440,364.0	\$475,801.5	\$281,531.6
<u>Expenses</u>					
Registered Representatives' Compensation (Part II Only) 2/	\$ 29,959.0	\$ 31,711.6	\$ 36,604.7	\$38,691.8	\$ 34,955.4
Other Employee Compensation and Benefits	49,178.7	52,908.1	62,146.3	62,858.4	54,804.1
Compensation to Partners and Voting Stockholder Officers	3,319.3	3,165.1	3,449.7	3,569.9	3,602.0
Commissions and Clearance Paid to Other Brokers	16,909.9	18,258.9	21,479.0	25,305.1	25,721.6
Interest Expenses	57,913.6	136,122.4	217,923.2	271,874.1	121,336.8
Regulatory Fees and Expenses	1,464.3	1,557.0	1,632.3	1,824.1	1,773.2
All Other Expenses 2/	55,466.3	59,963.3	63,809.1	71,520.4	71,536.6
Total Expenses	\$214,211.0	\$303,686.4	\$407,044.2	\$475,643.7	\$313,729.8
<u>Income and Profitability</u>					
Pre-tax Income	\$20,821.3	\$17,613.6	\$33,319.8	\$157.8	-\$32,198.2
Pre-tax Profit Margin	8.9%	5.5%	7.6%	0.0%	-11.4%
Pre-tax Return on Equity	14.9%	12.0%	21.3%	0.1%	-19.2%
Number of Firms	5,231	5,143	5,077	4,991	4,708

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, 2004 - 2008 1/
(\$ in Millions)

	2004	2005	2006	2007	2008
<u>Assets</u>					
Cash	\$ 64,996.5	\$ 59,502.8	\$ 85,695.8	\$ 109,501.5	\$ 126,326.1
Receivables from Other					
Broker-Dealers	1,792,465.9	1,941,595.2	2,465,769.3	2,534,768.8	1,406,955.4
Receivables from Customers	214,374.0	202,277.2	252,147.2	261,413.4	140,964.1
Receivables from Non-customers	44,085.5	28,989.0	37,937.7	65,205.8	22,174.2
Long Positions in Securities and Commodities	1,071,660.1	1,184,107.5	1,383,270.8	1,593,015.7	1,179,516.7
Securities and Investments not Readily Marketable	13,489.6	14,696.7	19,615.7	21,165.2	11,335.1
Securities Purchased Under Agreements to Resell (Part II only) 2/	1,189,010.4	1,288,647.4	1,342,498.3	1,473,453.8	1,186,011.1
Exchange Membership	666.5	769.3	312.1	343.1	297.7
Other Assets 2/	213,735.9	249,177.4	320,858.9	355,164.4	207,340.6
Total Assets	\$4,604,484.3	\$4,969,762.5	\$5,908,105.6	\$ 6,414,031.7	\$4,280,920.8
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 90,173.4	\$ 97,655.4	\$ 104,855.4	\$ 114,438.7	\$ 43,251.3
Payables to Other Broker-dealers	1,033,641.6	1,018,199.3	1,222,095.1	1,302,092.0	544,974.5
Payables to Non-customers	63,782.6	67,301.4	102,941.8	105,636.7	83,576.6
Payables to Customers	510,339.9	508,372.3	560,712.9	761,135.8	665,648.9
Short Positions in Securities and Commodities	504,689.8	487,003.6	558,532.3	523,353.2	295,773.0
Securities Sold Under Repurchase Agreements (Part II only) 2/	1,801,674.5	2,124,355.6	2,579,075.1	2,796,745.3	1,992,187.1
Other Non-subordinated Liabilities 2/	370,991.2	421,882.5	510,191.8	492,080.3	347,333.0
Subordinated Liabilities	84,628.1	96,871.1	104,311.0	149,696.4	141,000.0
Total Liabilities	\$4,459,921.2	\$4,821,641.1	\$5,742,715.4	\$6,245,178.3	\$4,113,744.4
Equity Capital	\$144,563.1	\$148,121.4	\$165,390.2	\$168,853.5	\$167,176.4
Number of Firms	5,231	5,143	5,077	4,991	4,708

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)

	2007		2008		Percent Change 2007-2008
	Dollars	Percent of Total Revenues	Dollars	Percent of Total Revenues	
<u>Revenues</u>					
Securities Commissions	\$ 38,404.5	9.3%	\$ 39,221.7	17.5%	2.1%
Gains (Losses) in Trading and Investment Accounts	-6,971.4	-1.7	-63,863.2	-28.5	816.1
Profits (Losses) from Underwriting and Selling Groups	24,657.8	6.0	15,095.3	6.7	-38.8
Margin Interest	32,286.9	7.8	18,134.7	8.1	-43.8
Revenues from Sale of Investment Company Shares	14,003.6	3.4	11,531.8	5.2	-17.7
Miscellaneous Fees	26,054.4	6.3	25,238.8	11.3	-3.1
Revenues from Research	54.3	0.0	78.2	0.0	44.0
Commodities Revenues	2,745.2	0.7	5,356.1	2.4	95.1
All Other Revenues	280,344.1	68.1	172,990.7	77.3	-38.3
Total Revenues	\$411,579.3	100.0%	\$223,783.9	100.0%	-45.6%
<u>Expenses</u>					
Registered Representatives' Compensation	\$ 38,691.8	9.4%	\$ 34,955.4	15.6%	-9.7%
Other Employee Compensation and Benefits	46,342.3	11.3	39,368.7	17.6	-15.0
Compensation to Partners and Voting Stockholder Officers	1,240.8	0.3	1,231.5	0.6	-0.7
Commissions and Clearance Paid to Other Brokers	10,896.5	2.6	11,902.8	5.3	9.2
Communications	6,013.5	1.5	6,013.8	2.7	0.0
Occupancy and Equipment Costs	6,633.4	1.6	6,800.0	3.0	2.5
Data Processing Costs	3,807.8	0.9	3,390.0	1.5	-11.0
Interest Expenses	270,994.1	65.8	120,943.3	54.0	-55.4
Regulatory Fees and Expenses	1,530.0	0.4	1,515.3	0.7	-1.0
Losses in Error Accounts and Bad Debts	243.4	0.1	1,415.8	0.6	481.7
All Other Expenses	31,684.2	7.7	30,722.1	13.7	-3.0
Total Expenses	\$418,077.8	101.6%	\$258,258.6	115.4%	-38.2%
<u>Income and Profitability</u>					
Pre-tax Income	-\$6,498.4	-1.6%	-\$34,474.7	-15.4%	430.5%
Pre-tax Profit Margin	-1.6%		-15.4%		
Pre-tax Return on Equity	-4.7%		-24.7%		
Number of Firms	545		514		

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)

	2007		2008		Percent Change 2007-2008
	Dollars	Percent of Total Assets	Dollars	Percent of Total Assets	
Assets					
Cash	\$ 104,185.6	1.6%	\$ 121,775.1	2.9%	16.9%
Receivables from Other Broker-Dealers	2,516,269.9	39.8	1,401,803.5	33.3	-44.3
(a) Securities Failed to Deliver	60,181.3	1.0	43,012.2	1.0	-28.5
(b) Securities Borrowed	2,347,269.7	37.1	1,234,867.0	29.3	-47.4
(c) Other	108,818.9	1.7	123,924.3	2.9	13.9
Receivables from Customers	261,413.4	4.1	140,964.1	3.3	-46.1
Receivables from Non-customers	63,755.7	1.0	21,101.8	0.5	-66.9
Long Positions in Securities and Commodities	1,544,687.8	24.4	1,137,303.5	27.0	-26.4
(a) Bankers Acceptances, Certificates of Deposit and Commercial Paper	86,400.1	1.4	67,454.9	1.6	-21.9
(b) U.S. and Canadian Government Obligations	728,555.5	11.5	721,880.1	17.1	-0.9
(c) State and Municipal Government Obligations	49,316.1	0.8	38,646.9	0.9	-21.6
(d) Corporate Obligations	365,368.6	5.8	130,467.3	3.1	-64.3
(e) Stocks and Warrants	217,586.0	3.4	109,151.2	2.6	-49.8
(f) Options	32,627.0	0.5	29,834.8	0.7	-8.6
(g) Arbitrage	13,000.0	0.2	3,258.6	0.1	-74.9
(h) Other Securities	51,282.3	0.8	37,459.7	0.9	-27.0
(i) Spot Commodities	1,528.5	0.0	73.7	0.0	-95.2
Securities and Investments Not Readily Marketable	20,487.9	0.3	10,827.4	0.3	-47.2
Securities Purchased Under Agreements to Resell	1,473,453.8	23.3	1,186,011.1	28.2	-19.5
Exchange Membership	321.7	0.0	291.0	0.0	-9.5
Other Assets	341,136.1	5.4	193,041.9	4.6	-43.4
Total Assets	\$6,325,712.0	100.0%	\$4,213,119.2	100.0%	-33.4%
Liabilities and Equity Capital					
Bank Loans Payable	\$ 103,303.2	1.6%	\$ 34,941.4	0.8%	-66.2%
Payables to Other Broker-dealers	1,276,349.5	20.2	527,545.9	12.5	-58.7
(a) Securities Failed to Receive	77,301.4	1.2	45,319.8	1.1	-41.4
(b) Securities Loaned	1,128,205.9	17.8	432,249.6	10.3	-61.7
(c) Other	70,842.2	1.1	49,976.6	1.2	-29.5
Payables to Non-customers	104,548.6	1.7	82,868.6	2.0	-20.7
Payables to Customers	761,135.8	12.0	665,648.9	15.8	-12.5
Short Positions in Securities and Commodities	512,768.9	8.1	290,041.0	6.9	-43.4
Securities Sold Under Repurchase Agreements	2,796,745.3	44.2	1,992,187.1	47.3	-28.8
Other Non-subordinated Liabilities	484,450.2	7.7	341,459.6	8.1	-29.5
Subordinated Liabilities	146,900.4	2.3	138,599.4	3.3	-5.7
Total Liabilities	\$6,186,201.9	97.8%	\$4,073,291.8	96.7%	-34.2%
Equity Capital	\$139,510.1	2.2%	\$139,827.4	3.3%	0.2%
Number of Firms	545		514		

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

Year	Total	Equity Trading	Option Trading	Option Exercises and Futures Deliveries	Security Futures Trading 1/
1990	\$ 2,229,226	\$ 2,153,676	\$ 27,219	\$ 48,331	
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

Calendar Year 2008

Amex	\$ 548,817	\$ 376,698	\$ 56,044	\$ 116,075	0
BATS	\$ 1,089,660	\$ 1,089,660	\$ 0	\$ 0	0
BSE	\$ 124,491	\$ 0	\$ 42,162	\$ 82,329	0
CBOE	\$ 1,017,957	\$ 191,583	\$ 267,569	\$ 558,804	0
CHX	\$ 417,092	\$ 417,092	\$ 0	\$ 0	0
CMX	\$ 1	\$ 0	\$ 0	\$ 1	2,483
ISE	\$ 1,557,079	\$ 759,431	\$ 268,937	\$ 528,711	0
FINRA	\$21,561,014	\$21,561,014	\$ 0	\$ 0	0
NASDAQ	\$24,999,564	\$24,974,977	\$ 9,311	\$ 15,276	0
NSX	\$ 1,043,269	\$ 1,043,269	\$ 0	\$ 0	0
NYSE	\$12,766,938	\$12,766,938	\$ 0	\$ 0	0
OneChicago	\$ 8,119	\$ 0	\$ 0	\$ 8,119	3,731,199
Arca	\$16,115,999	\$15,429,211	\$ 222,169	\$ 464,620	0
Phlx	\$ 762,446	\$ 43,131	\$ 229,576	\$ 489,739	0

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.

1/ This 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.