

United States Securities and Exchange Commission 2004 Enforcement and Market Data

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Table 1
ENFORCEMENT MILESTONES
FISCAL 2004

<ul style="list-style-type: none"> • Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$1.9 billion and to pay penalties of approximately \$1.2 billion.
<ul style="list-style-type: none"> • Sought orders barring 161 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 35 actions, and sought asset freezes in 46 actions.
<ul style="list-style-type: none"> • Filed 11 actions to enforce investigative subpoenas.
<ul style="list-style-type: none"> • Halted trading in securities of 33 issuers about which there was inadequate public disclosure.
<p>In SEC-related criminal cases, prosecutors filed indictments, informations, or contempts in 159 cases.</p>

Table 2
ENFORCEMENT ACTIONS INITIATED BY THE COMMISSION
DURING FISCAL YEAR 2004 IN VARIOUS PROGRAM AREAS

(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		21A Reports		Total		% of Total Actions
Securities Offering Cases	59	(306)	39	89	0	(0)	98	(395)	15%
Broker-Dealer Cases									
(a) Fraud Against Customer	15	(56)	90	(145)	0	(0)	105	(204)	
(b) Failure to Supervise	0	(0)	14	(15)	0	(0)	14	(15)	
(c) Other	2	(2)	20	(24)	0	(0)	22	(26)	
Total Broker-Dealer Cases	17	(58)	124	(187)	0	(0)	141	(245)	22%
Issuer Financial Statement and Reporting Cases									
(a) Issuer Financial Disclosure	88	(202)	81	(103)	0	(0)	169	(305)	
(b) Issuer Reporting Other	4	(4)	6	(8)	0	(0)	10	(12)	
Total Issuer Financial Statement & Reporting Cases	92	(206)	87	(111)	0	(0)	179	(317)	28%
Other Regulated Entity Cases									
(a) Investment Advisers	20	(55)	56	(83)	0	(0)	76	(138)	
(b) Investment Companies	4	(25)	10	(19)	0	(0)	14	(44)	
(c) Transfer Agents	1	(1)	3	(4)	0	(0)	4	(5)	
Total Other Regulated Entity Cases	25	(81)	69	(106)	0	(0)	94	(187)	15%
Insider Trading Cases	32	(85)	10	(10)	0	(0)	42	(95)	7%
Market Manipulation Cases	17	(63)	22	(60)	0	(0)	39	(123)	6%
Delinquent Filings Cases									
Issuer Reporting	0	(0)	21	(57)	0	(0)	21	(57)	3%
Contempt Proceedings	21	(30)	0	(0)	0	(0)	21	(30)	3%
Newsletter/Touting	0	(0)	2	(3)	0	(0)	2	(3)	0%
Miscellaneous Cases	1	(1)	0	(0)	0	(0)	1	(1)	0%
Fraud Against Regulated Entities	0	(0)	1	(1)	0	(0)	1	(1)	0%
TOTALS	264	(803)	375	(624)	1	(1)	639	(1454)	100%

Table 3
FISCAL 2004 ENFORCEMENT CASES
LISTED BY PROGRAM AREA

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
Broker-Dealer		
<i>(a) Fraud Against Customer</i>		
SEC v. Darlan E. Gordon	none	12/15/2003
SEC v. Global Health, et al.	LR-18881	09/09/2003
SEC v. JP Morgan Securities, Inc.	LR-18385	10/01/2003
In the Matter of Joseph C. Kane, Jr.	34-48628	10/15/2003
In the Matter of Charles G. Dyer	34-48642	10/16/2003
In the Matter of Steven Hanna, et al.	34-48705	10/27/2003
SEC v. Martin J. Druffner, et al.	LR-18784	11/04/2003
In the Matter of William Slone	33-8336	11/13/2003
In the Matter of Marion Sherrill	33-8337	11/13/2003
In the Matter of Morgan Stanley DW, Inc.	33-8339	11/17/2003
In the Matter of Bruce Follick, et al.	34-49686	11/24/2003
In the Matter of Lawrence M. Barsi	34-48824	11/24/2003
In the Matter of Steven E. Muth, et al.	34-49790	11/26/2003
In the Matter of Marco G. Fiore, Jr., et al.	34-48905	12/11/2003
SEC v. Daniel Calugar, et al.	LR-18524	12/24/2003
In the Matter of Gregg Becker	34-49244	12/29/2003
In the Matter of Edward Becker	34-49006	12/29/2003
In the Matter of Eric Stuerken	34-49303	12/29/2003
In the Matter of James L. George	34-49128	01/26/2004
SEC v. First Access Financial, LLC, et al.	LR-18561	01/28/2004
In the Matter of Ronald W. Pinto	34-49139	01/28/2004
In the Matter of Mark D. Deyak	34-49504	01/29/2004
In the Matter of Michael J. Louis	34-49144	01/29/2004
In the Matter of Alfred Palagonia, et al.	34-49174	02/03/2004
In the Matter of William R. Kerr	34-49202	02/06/2004
SEC v. Carlos H. Soto, et al.	LR-18625	02/11/2004
In the Matter of UBS Financial Services, Inc.	33-8377	02/12/2004
In the Matter of Raymond James Financial Services, Inc.	33-8374	02/12/2004
In the Matter of Linsco/Private Ledger Corp.	33-8371	02/12/2004
In the Matter of Legg Mason Wood Walker, Inc.	33-8368	02/12/2004
In the Matter of American Express Financial Advisors, Inc.	33-8365	02/12/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Wachovia Securities, LLC	33-8380	02/12/2004
In the Matter of H.D. Vest Investment Securities, Inc.	33-8383	02/12/2004
In the Matter of Brownstone Capital Corp., et al.	34-49249	02/13/2004
SEC v. Patrollers Capital Fund, et al.	LR-18581	02/13/2004
In the Matter of John F. Turant, Jr.	34-49735	02/18/2004
SEC v. Mark David Anderson	LR-18587	02/19/2004
SEC v. American Gold Mining Corp., et al.	LR-18594	02/23/2004
In the Matter of David Shane Lewis	34-49310	02/24/2004
SEC v. MX Factors LLC, et al.	LR-18619	02/26/2004
In the Matter of Kenneth M. May, et al.	34-49330	02/27/2004
In the Matter of Steven Arevalo, et al.	34-49348	03/02/2004
In the Matter of Clifford Ray Burton	34-49370	03/05/2004
In the Matter of Robert B. Dimarco, Jr.	34-49394	03/11/2004
In the Matter of Joseph F. Desanto	34-50086	03/11/2004
SEC v. Rodney S. Shehyn, et al.	LR-18624A	03/15/2004
In the Matter of Damian Delgado	34-49425	03/16/2004
In the Matter of Robert Cournoyer	34-49720	03/26/2004
In the Matter of Thomas G. Brooks	34-49485	03/26/2004
In the Matter of Terry Don Rader	34-49507	03/31/2004
In the Matter of Frank D. Gruttadauria	34-49760	04/12/2004
In the Matter of Deborah J. Breckenridge	34-49558	04/13/2004
In the Matter of CDH Affiliates, Inc., et al.	34-49837	04/23/2004
SEC v. Charles Dwain Davis, Jr.	LR-18707	05/12/2004
In the Matter of David Stetson	34-49703	05/14/2004
In the Matter of Nicholas Antonelli	34-49702	05/14/2004
In the Matter of Steven Ingrassia, et al.	33-8420	05/14/2004
In the Matter of James P. Farnell	34-49734	05/19/2004
In the Matter of Christopher Kent Bagdasarian	34-49753	05/21/2004
In the Matter of Raymond P. Sobieralski	34-49762	05/24/2004
In the Matter of Currency Trading International, Inc., et al.	34-50050	05/27/2004
In the Matter of Michael J. Farnell	34-49808	06/04/2004
In the Matter of Thomas Hawkesworth	34-49944	06/30/2004
In the Matter of Daniel J. Berardi, Jr.	34-49945	06/30/2004
In the Matter of Mark Jackson Nichols	33-8435	07/01/2004
In the Matter of Goldman, Sachs & Co.	33-8434	07/01/2004
In the Matter of J. Michael Scarborough, et al.	33-8438	07/08/2004
In the Matter of Dale Carone	34-50236	07/12/2004
In the Matter of Randall W. Harding	34-50009	07/13/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Frederic A. Gladle	34-50011	07/14/2004
In the Matter of Bruce H. Barbers, et al.	34-50027	07/15/2004
In the Matter of Ronald D. Brouillette, Jr.	34-50268	07/21/2004
In the Matter of Jason H. Pollak	34-50128	07/30/2004
In the Matter of Americo Robert Gallo, et al.	34-50132	08/02/2004
In the Matter of Frederick B. Hornick, Jr.	34-50161	08/06/2004
In the Matter of Joseph W. Isaac	34-50180	08/11/2004
In the Matter of Platinum Investment Corporation, et al.	34-50228	08/23/2004
In the Matter of Van E. Brighton	34-50258	08/25/2004
In the Matter of David L. Knudson	34-50257	08/25/2004
SEC v. JB Oxford Holdings, Inc., et al.	LR-18850	08/25/2004
SEC v. Kimberly J. Carrella, et al.	LR-18860	08/30/2004
In the Matter of Marc Wein	34-50288	08/30/2004
In the Matter of Merrell W. Williams, et al.	34-50293	08/31/2004
In the Matter of Edward Landenbaum	34-50297	08/31/2004
In the Matter of Vladislav Steven Zubkis	34-50301	09/01/2004
In the Matter of Marlon D. Tropeano	34-50299	09/01/2004
In the Matter of David Abish, et al.	34-50316	09/03/2004
In the Matter of Franklin Marone	34-50439	09/03/2004
In the Matter of Michael Sydney Newman	34-50314	09/03/2004
In the Matter of Harold B. Gallison, Jr., et al.	34-50321	09/07/2004
In the Matter of Frederick Tropeano	34-50320	09/07/2004
In the Matter of Emanuele Cardaci	34-50330	09/08/2004
In the Matter of Cheryl Swain	34-50344	09/10/2004
In the Matter of Allen Andrescu, et al.	34-50348	09/10/2004
In the Matter of Robert C. Walters	34-50353	09/13/2004
In the Matter of John A. D'Onofrio	34-50352	09/13/2004
In the Matter of Jason J. Riley	34-50350	09/13/2004
In the Matter of Dennis J. Oslosky	34-50351	09/13/2004
In the Matter of Michael I. Nnege, et al.	34-50359	09/14/2004
In the Matter of Kenneth A. Orr	34-50363	09/14/2004
In the Matter of Michael Yeninas	34-50362	09/14/2004
In the Matter of Anthony Gianninoto, et al.	34-50382	09/15/2004
In the Matter of Robert Snyder, et al.	34-50444	09/24/2004
In the Matter of Marshall S. Klein	LR-50459	09/28/2004
In the Matter of Raymond James Financial Services, Inc., et al.	34-50476	09/30/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
<i>(b) Failure to Supervise</i>		
In the Matter of James Patrick Driver	34-48852	11/26/2003
In the Matter of Schneider Securities, Inc.	34-48849	11/26/2003
In the Matter of Van der Moolen Specialists USA, LLC	34-49502	03/30/2004
In the Matter of Spear, Leeds & Kellogg Specialist, LLC	34-49501	03/30/2004
In the Matter of LaBranche & Co., LLC	34-49500	03/30/2004
In the Matter of Fleet Specialist, Inc.	34-49499	03/30/2004
In the Matter of Bear Wagner Specialist, LLC	34-49498	03/30/2004
In the Matter of David Lerner Associates, Inc.	33-8423	05/19/2004
In the Matter of Fidelity National Capital Investors, Inc.	34-49824	06/08/2004
In the Matter of Connecticut Capital Markets, LLC, et al.	34-50034	07/16/2004
In the Matter of SIG Specialist, Inc.	34-50076	07/26/2004
In the Matter of Performance Specialist Group, LLC	34-50075	07/26/2004
In the Matter of Fidelity Brokerage Services, LLC	34-50138	08/03/2004
In the Matter of Donaldson, Lufkin & Jenrette Securities Corp.	34-50272	08/26/2004
<i>(c) Other</i>		
In the Matter of Mid-Ohio Securities Corp.	34-48635	10/15/2003
In the Matter of Brut, LLC	34-48718	10/30/2003
In the Matter of Henry M. Blodget	34-48724	10/31/2003
In the Matter of Jack Benjamin Grubman	34-48725	10/31/2003
In the Matter of Lytle E. Foglesong	34-48792	11/17/2003
In the Matter of Thomas Gregory Cook	34-48794	11/17/2003
In the Matter of James H. Malbaff	34-48793	11/17/2003
In the Matter of Greg Balk, et al.	34-49359	03/03/2004
In the Matter of Joseph Petrolino, et al.	34-49578	03/16/2004
In the Matter of SEI Investments Distribution Co., et al.	34-50017	07/14/2004
In the Matter of Friedman, Billings, Ramsey & Co., Inc.	33-8461	08/25/2004
In the Matter of Morgan Keegan & Co., Inc.	33-8466	08/25/2004
In the Matter of Adams Harkness, Inc f/k/a Adams, Harkness & Hill, Inc.	33-8460	08/25/2004
In the Matter of SG Cowen & Co., LLC f/k/a SG Cowen Securities Corp.	33-8472	08/25/2004
In the Matter of Needham & Company, Inc.	33-8474	08/25/2004
In the Matter of Janney Montgomery Scott, LLC	33-8475	08/25/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Prudential Equity Group, LLC, f/k/a Prudential Securities	33-8470	08/25/2004
SEC v. Deutsche Bank Securities, Inc.	LR-18854	08/26/2004
SEC v. Thomas Weisel Partners, LLC	LR-18855	08/26/2004
In the Matter of Charles Schwab & Co., Inc.	34-50360	09/14/2004
In the Matter of Taglich Brothers, Inc., et al.	33-8489	09/15/2004
In the Matter of TD Waterhouse Investor Services, Inc.	34-50415	09/21/2004

Civil Contempt

The Rose Fund, et al.	LR-18613	10/13/2003
SEC v. Merrill Scott & Associates, Ltd., et al.	LR-18542	11/10/2003
SEC v. AutoFund Servicing, Inc., et al.	none	11/26/2003
SEC v. IPIC International, Inc., et al.	none	12/05/2003
IPIC International, Inc., et al.	none	01/09/2004
SEC v. Presto Telecommunications, Inc., et al.	LR-18858	01/27/2004
SEC v. Blake A. Prater, et al.	LR-18562	01/30/2004
SEC v. W.L. Ware Enterprises and Investment, Inc., et al.	none	01/30/2004
SEC v. IPIC International, Inc., et al.	none	02/03/2004
SEC v. National Financial Systems, Inc., et al.	none	02/13/2004
SEC v. David M. Wolfson, et al.	LR-18585	02/18/2004
SEC v. David M. Wolfson, et al.	none	02/18/2004
SEC v. Wealth International Network, et al.	none	04/21/2004
SEC v. Joel Steinger, et al.	none	05/03/2004
SEC v. Ronald Stephen Holt, et al. and Annette Holt, et al.	none	05/24/2004
SEC v. J. Robert Dobbins, et al.	none	06/09/2004
SEC v. Gabor S. Acs	none	06/21/2004
SEC v. MX Factors LLC, et al.	LR-18779	06/24/2004
SEC v. Mutual Benefits Corp., et al.	none	07/12/2004
SEC v. Tel-One, Inc., et al.	none	08/11/2004
SEC v. Roc Hatfield	LR-18918	09/29/2004

Delinquent Filings: Issuer Reporting

In the Matter of Cornerstone Propane Partners, L.P.	34-48916	12/12/2003
In the Matter of Styling Technology Corporation	34-49474	01/20/2004
In the Matter of IDT Venture Group, Inc.	34-49914	02/17/2004
In the Matter of Rhino EcoSystems, Inc.	34-49816	03/03/2004
In the Matter of Uncommon Media Group, Inc.	34-49803	03/29/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of LASV Enterprises, Inc.	34-49526	04/02/2004
In the Matter of Ocumed Group, Inc.	34-49976	05/24/2004
In the Matter of Alcohol Sensors Int'l, Ltd., et al.	34-50200	06/08/2004
In the Matter of Cybergate, Inc., et al.	34-50396	06/08/2004
In the Matter of Pinnacle Business Management, Inc.	34-49971	07/06/2004
In the Matter of Spiegel, Inc.	34-50073	07/23/2004
In the Matter of EVTC, Inc.	34-50419	07/26/2004
In the Matter of Epicedge, Inc.	34-50102	07/28/2004
In the Matter of Stan Lee Media, Inc.	34-50181	08/11/2004
In the Matter of U.S. Technologies, Inc.	34-50273	08/26/2004
In the Matter of Piranha, Inc.	34-50313	09/03/2004
In the Matter of Eagle Building Technologies, Inc.	34-50421	09/22/2004
In the Matter of The Village Green Bookstore, Inc.	34-50429	09/23/2004
In the Matter of Emex Corporation	34-50438	09/24/2004
In the Matter of A.C.L.N. Limited	34-50455	09/27/2004
In the Matter of Agra-Tech, Incorporated, et al.	34-50467	09/29/2004

Fraud Against Regulated Entity

In the Matter of Daniel E. Emmenegger	34-49460	03/23/2004
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Insider Trading

In the Matter of John Ray Rooney	34-49179	02/03/2004
SEC v. Kenneth S. Martin	LR-18564	02/04/2004
SEC v. Leon Levy, et al.	LR-18584	02/19/2004
SEC v. InVision Technologies, Inc.	LR-18657A	03/16/2004
SEC v. Sean S. Coghlan, et al.	LR-18633	03/23/2004
SEC v. E. Garrett Bewkes, Jr., et al.	LR-18658	04/07/2004
SEC v. Alfred S. Teo, Sr., et al.	LR-18673	04/22/2004
SEC v. Allen M. Glick, et al.	LR-18675	04/22/2004
SEC v. Barry Richard Kusatzky	AAER-1996	04/28/2004
In the Matter of Robert D. Bewkes	34-49645	05/03/2004
SEC v. Paula H. Rieker	AAER-2018	05/19/2004
In the Matter of Frank J. Zangara	34-49805	06/03/2004
SEC v. Frederick David Jones, et al.	LR-18742	06/10/2004
SEC v. Fiore J. Gallucci, et al.	LR-18873	06/16/2004
SEC v. J. Thomas Talbot	LR-18762	06/24/2004
SEC v. David M. Willey, et al.	LR-18794	07/26/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Rick A. Marano, et al.	LR-18799	07/27/2004
SEC v. Kenneth F. Kryzda	LR-18806	07/28/2004
SEC v. Peter O. Marion	LR-18796	07/28/2004
SEC v. Michael J. McCloskey, et al.	LR-18819	08/02/2004
SEC v. Derrick S. McKinley	LR-18832	08/12/2004
In the Matter of Daniel Harris	34-50194	08/13/2004
SEC v. Gary M. Kornman	LR-18836	08/18/2004
SEC v. John Patrucco	LR-18846	08/24/2004
In the Matter of Fiore J. Gallucci	34-50334	09/09/2004
In the Matter of Andrew S. Marks	34-50432	09/23/2004
SEC v. Mark Kelly, et al.	LR-18906	09/28/2004
SEC v. Linda Ensor, et al.	LR-18902	09/28/2004
SEC v. James R. Jensen	LR-18912	09/29/2004
SEC v. Gerhard Andlinger, et al.	LR-18383	10/01/2003
SEC v. Stephen A. White, et al.	LR-18407	10/09/2003
In the Matter of Stephen A. White	34-48645	10/16/2003
In the Matter of Louis B. Lloyd	34-48661	10/20/2003
SEC v. Rodney R. Proto, et al.	AAER-1904	10/22/2003
SEC v. Bruce E. Snyder, Jr.	AAER-1904	10/22/2003
SEC v. Guillermo Garcia Simon, et al.	LR-18763	10/28/2003
SEC v. James M. Adelt, et al.	LR-18442	11/03/2003
SEC v. AmeriCredit Corp.	LR-18442	11/03/2003
In the Matter of Joseph F. Doody IV	34-48870	12/03/2003
SEC v. Richard Wilson	LR-18496	12/04/2003
In the Matter of John M. Youngdahl, Jr.	34-48900	12/10/2003
SEC v. Lianne and Stanley Gulkin	LR-18500	12/11/2003

Other Regulated Entity Cases

(a) Investment Adviser

In the Matter of Steven B. Markovitz	33-8298	10/02/2003
In the Matter of James Patrick Connelly, Jr.	33-8304	10/16/2003
SEC v. Justin M. Scott, et al.	LR-18428	10/28/2003
In the Matter of Putnam Investment Management, LLC	34-50039	10/28/2003
SEC v. Edward J. Strafaci	LR-18432	10/29/2003
In the Matter of Lisa A. Thiesfield	IA-2186	10/29/2003
In the Matter of Sherman S. Smith	IA-2193	11/19/2003
SEC v. Gary L. Pilgrim, et al.	LR-18802	11/20/2003

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Kaufman, Bernstein, Oberman, Tivoli & Miller, LLC, et al.	IA-2194	11/20/2003
SEC v. Bryan James Hawes, et al.	LR-18475	11/20/2003
In the Matter of George F. Fahey	34-48830	11/24/2003
SEC v. Invesco Funds Group, Inc., et al	LR-18482	12/02/2003
In the Matter of FT Interactive Data, f/k/a Interactive Data Corporation	IA-2201	12/11/2003
SEC v. Donald F. Chamberlin, et al.	LR-18507	12/11/2003
In the Matter of Robert T. Littell, et al.	IA-2203	12/15/2003
In the Matter of Alliance Capital Management, LP	IA-2205A	12/18/2003
In the Matter of Paul Joseph Sheehan, dba Paul J. Sheehan & Associates	IA-2211	12/29/2003
SEC v. Mark N. Geman	LR-18538	01/12/2004
In the Matter of Anthony F. Giordano	34-49258	02/17/2004
SEC v. Columbia Management Advisors, Inc., et al.	LR-18590	02/24/2004
SEC v. KS Advisors, Inc., et al.	LR-18812	02/26/2004
In the Matter of Frederick W. McCarthy	34-49369	03/05/2004
In the Matter of Charles B. Spadoni	34-50300	03/09/2004
SEC v. Ricky A. Lang, et al.	LR-18647	03/20/2004
SEC v. J. Robert Dobbins, et al.	LR-18634	03/23/2004
In the Matter of Massachusetts Financial Services Company	IA-2224	03/31/2004
In the Matter of John P. Borbi	34-49651	05/04/2004
SEC v. Pimco Advisors Fund Management LLC, et al.	LR-18697	05/06/2004
SEC v. Warren Asset Management, LLC, et al.	LR-18714	05/13/2004
In the Matter of Luis Giro	IA-2236	05/19/2004
In the Matter of Lee Bradford Arberg	IA-2237	05/19/2004
In the Matter of Strong Capital Management, Inc., et al.	34-49741	05/20/2004
In the Matter of Daniel D. Dyer	34-49750	05/21/2004
SEC v. C+ Capital Management, LLC, et al.	LR-18747	05/25/2004
In the Matter of Warren Asset Management, LLC, et al.	IA-2244	05/28/2004
In the Matter of Isaac Sofair	IA-2245	06/04/2004
SEC v. Geek Securities, Inc., et al.	LR-18767	06/04/2004
In the Matter of Ian L. Renert	IA-2248	06/15/2004
In the Matter of Scott Fine, et al.	34-49862	06/15/2004
In the Matter of Samer M. El Bizri, et al.	33-8430	06/16/2004
In the Matter of Pilgrim Baxter & Associates, Ltd.	IA-2275	06/21/2004
In the Matter of David Farrell McLean	34-49899	06/22/2004
SEC v. Michael L. Hershey, et al.	LR-18757	06/22/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Banc One Investment Advisors Corporation, et al.	IA-2254	06/26/2004
In the Matter of Jose P. Zollino	34-49975	07/07/2004
In the Matter of Wilmington Trust Company	IA-2261	07/12/2004
In the Matter of Warren L. Ware	IA-2267	07/22/2004
SEC v. Scott Bell	none	07/27/2004
In the Matter of Dominique S. Alvieri	IA-2287	07/28/2004
SEC v. Anthony P. Postiglione, Jr., et al.	LR-18824	07/30/2004
In the Matter of Franklin Advisers, Inc.	IA-2271	08/02/2004
In the Matter of Terese Herwick	IA-2272	08/05/2004
In the Matter of Richard L. Cherry	IA-2273	08/09/2004
SEC v. William A. DiBella, et al.	LR-18829	08/12/2004
In the Matter of Thayer Capital Partners, et al.	33-8457	08/12/2004
In the Matter of Janus Capital Management, LLC	IA-2277	08/18/2004
In the Matter of Steven M. Bolla, et al.	34-50222	08/20/2004
SEC v. Scott B. Kaye, et al.	LR-18845	08/23/2004
In the Matter of Matthew Brenner, et al.	34-50240	08/24/2004
In the Matter of Peter Bacanovic	34-50284	08/27/2004
In the Matter of Michael D. Legoski	34-50289	08/30/2004
In the Matter of Thomas A. Kolbe	IA-2288	08/30/2004
In the Matter of Timothy J. Miller	IA-2289	08/30/2004
In the Matter of PA Fund Management, LLC, et al.	34-50354	09/13/2004
In the Matter of Adam G. Kruger	IA-2297	09/15/2004
In the Matter of Sagam Capital Management Corp., et al.	IA-2296	09/15/2004
In the Matter of PA Fund Management, LLC, et al.	IA-2295	09/15/2004
In the Matter of Bridgeway Capital Management, Inc., et al.	IA-2294	09/15/2004
In the Matter of William Barney Thomas	34-50397	09/16/2004
In the Matter of Brandt, Kelly & Simmons, LLC, et al.	IA-2302	09/21/2004
In the Matter of Rudney Associates, Inc., et al.	IA-2300	09/21/2004
In the Matter of Kiely Financial Services, Inc., et al.	IA-2301	09/21/2004
In the Matter of Edward J. Strafacci	34-50422	09/22/2004
In the Matter of Kenneth B. MacQueen	IA-2305	09/23/2004
In the Matter of Alan Brian Bond, et al.	34-50462	09/28/2004
In the Matter of Groh Asset Management, Inc., et al.	IA-2308	09/30/2004
<i>(b) Investment Company</i>		
SEC v. Security Trust Company, N.A., et al.	LR-18653	11/25/2003
SEC v. Mutuals.com, Inc., et al.	LR-18489	12/04/2003

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Jon D. Hammes, et al.	33-8346	12/11/2003
SEC v. Heartland Advisors, et al.	LR-18505	12/12/2003
In the Matter of Paul A. Flynn	33-8360	02/03/2004
In the Matter of Massachusetts Financial Services Co., et al.	IA-2213A	02/05/2004
SEC v. Kelsey L. Garman, et al.	LR-18602	02/27/2004
In the Matter of Irving P. David	34-50111	07/28/2004
In the Matter of Cihc, Inc., et al.	33-8455	08/09/2004
In the Matter of Inviva, Inc., et al.	33-8456	08/09/2004
In the Matter of Audrey L. Buchner	IA-2282	08/26/2004
In the Matter of Robert S. Colman	IC-26581	08/26/2004
In the Matter of Garrett Van Wagoner, et al.	IA-2281	08/26/2004
In the Matter of Jesse Dean Bogdonoff	34-50281	08/27/2004

(c) Transfer Agent

In the Matter of Silverado Stock Transfer, Inc., et al.	34-49680	05/11/2004
SEC v. Wilmington Trust Company	LR-18759	06/23/2004
In the Matter of Wilmington Trust Company	34-49904	06/23/2004
In the Matter of Alnoor Jiwan	34-50271	07/21/2004

Issuer Financial Statement and Reporting Cases

(a) Financial Disclosure

SEC v. Richard Marks	AAER-1925	12/18/2003
In the Matter of Richard Fiedelman, CPA	AAER-1884	10/01/2003
In the Matter of Laurence M. Simon, CPA	AAER-1885	10/01/2003
SEC v. Sidney V. Corder, et al.	AAER-1886	10/01/2003
In the Matter of Jeffrey J. Schneider, CPA	AAER-1889	10/06/2003
In the Matter of NCI Building Systems, Inc.	AAER-1892	10/09/2003
SEC v. Gregory L. English	AAER-1893	10/09/2003
SEC v. Wesley H. Colwell	AAER-1894	10/09/2003
In the Matter of Vantagemed Corp.	AAER-1897	10/15/2003
SEC v. Joel M. Harris, et al.		10/15/2003
In the Matter of Arabian American Development Company, et al.	AAER-1898	10/16/2003
SEC v. Hatem El-Khalidi	LR-18412	10/16/2003
In the Matter of Anne H. Long, CPA	AAER-1905	10/22/2003
In the Matter of Victor Herman, CPA	AAER-1906	10/23/2003
SEC v. David W. Delainey	AAER-1907	10/30/2003

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Michael A. Sylver	34-49064	10/31/2003
In the Matter of B. Roland Frasier, III	34-48741	11/03/2003
In the Matter of Rita J. McConville, et al.	AAER-1910	11/12/2003
In the Matter of Gateway, Inc.	AAER-1911	11/13/2003
SEC v. John J. Todd, et al.	AAER-1912	11/14/2003
In the Matter of Axeda Systems, Inc., et al.	AAER-1913	11/14/2003
SEC v. Schick Technologies, Inc., et al.	AAER-1915	11/17/2003
SEC v. Sam Leopold, et al.	AAER-2012	12/03/2003
SEC v. Cumulus Media Inc., et al.	LR-18566	12/10/2003
SEC v. Stoffer, et al.	LR-18503	12/10/2003
In the Matter of Thomas D. Costello	AAER-1921	12/11/2003
SEC v. Dorothy L. Mahler, et al.	LR-18508	12/17/2003
SEC v. William S. Goldberg	AAER-1928	12/18/2003
SEC v. Charles D. Erwin, et al.	AAER-1928	12/18/2003
In the Matter of Hanover Compressor Company, et al.	AAER-1928	12/18/2003
SEC v. Daniel L. Gordon	LR-18515	12/19/2003
In the Matter of Genesco, Inc.	AAER-1930	12/19/2003
In the Matter of Mary E. Crabtree	AAER-1929	12/19/2003
SEC v. Canadian Imperial Bank of Commerce, et al.	AAER-2056	12/22/2003
In the Matter of Rocky Mountain Energy Corporation	34-48974	12/23/2003
SEC v. Vivendi Universal, SA, et al.	AAER-1935	12/24/2003
SEC v. Parmalat Finanziaria SPA	AAER-2065	12/30/2003
SEC v. Robert Quattrone, et al.	AAER-1938	01/07/2004
In the Matter of Weiser LLP, et al.	AAER-1943	01/15/2004
SEC v. Hollinger International, Inc.	AAER-1946	01/16/2004
SEC v. Corpro Companies, Inc.	AAER-1944	01/16/2004
In the Matter of Grant Thornton, LLP, et al.	AAER-2076	01/20/2004
SEC v. Lloyd Silverstein	AAER-1948	01/22/2004
SEC v. Richard A. Causey, et al.	AAER-2051	01/22/2004
In the Matter of Just for Feet, Inc.	34-49167	02/02/2004
SEC v. Jonathan G. Epstein	LR-18575	02/04/2004
In the Matter of Richard R. Ross, CPA	AAER-1950	02/04/2004
In the Matter of Performance Food Group Company	AAER-1957	02/13/2004
SEC v. Dean A. Nichols	LR-18578	02/17/2004
In the Matter of Steven F. Stork	AAER-1962	02/24/2004
In the Matter of Steven L. Mortensen	AAER-1961	02/24/2004
In the Matter of Christopher S. Hall	AAER-1960	02/24/2004
SEC v. Don-Allen Ruttenberg	AAER-1964	02/25/2004

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SEC v. Scott D. Sullivan	AAER-1966	03/02/2004
In the Matter of DT Industries, Inc.	AAER-1967	03/04/2004
SEC v. Richard Rambahal, et al.	AAER-1968	03/04/2004
In the Matter of Conseco, Inc.	AAER-1973	03/10/2004
SEC v. Rollin M. Dick, et al	AAER-1975	03/10/2004
In the Matter of Scott D. Sullivan	AAER-1977	03/17/2004
In the Matter of CMS Energy Corp., et al.	AAER-1978	03/17/2004
SEC v. Preston Hopper, et al.	LR-18628	03/18/2004
SEC v. Cedric Kushner Promotions, Inc., et al.	AAER-1979	03/24/2004
In the Matter of Gary H. Klein, CPA	AAER-1980	03/29/2004
SEC v. William W. Freise	AAER-1985	03/31/2004
SEC v. Michael B. Johnson, et al.	LR-18879	03/31/2004
SEC v. Richard H. Hawkins	AAER-1981	03/31/2004
In the Matter of Margaret M. Gardner	AAER-1982	03/31/2004
In the Matter of David T. Thomson, CPA, et al.	AAER-1984	04/01/2004
SEC v. Ira Zar	AAER-1988	04/08/2004
SEC v. David Rivard	AAER-1988	04/08/2004
SEC v. David Kaplan	AAER-1988	04/08/2004
In the Matter of Gerber Scientific, Inc.	AAER-1987	04/08/2004
In the Matter of John Luczyck, CPA	AAER-1989	04/14/2004
In the Matter of Kenneth W. Winger, et al.	AAER-1990	04/15/2004
SEC v. James E. Reid	AAER-1992	04/27/2004
In the Matter of California Amplifier, Inc.	AAER-1995	04/29/2004
In the Matter of Quadramed Corporation	AAER-1998	04/30/2004
In the Matter of Keith M. Roberts	AAER-1997	04/30/2004
SEC v. Michael W. Gullion	AAER-2000	05/04/2004
In the Matter of Stanley P. Silverstein	AAER-2007	05/11/2004
In the Matter of The Warnaco Group, Inc.	AAER-2005	05/11/2004
In the Matter of Bradley J. Schmidt, CPA	AAER-2011	05/11/2004
SEC v. PricewaterhouseCoopers, LLP	AAER-2009	05/11/2004
SEC v. William S. Finkelstein	AAER-2009	05/11/2004
In the Matter of PricewaterhouseCoopers, LLP	AAER-2008	05/11/2004
In the Matter of Jay S. Ozer, CPA	AAER-2010	05/11/2004
In the Matter of Linda J. Wachner	AAER-2006	05/11/2004
In the Matter of Cosmo Corigliano, CPA	AAER-2015	05/14/2004
SEC v. Lucent Technologies, Inc., et al.	AAER-2016	05/17/2004
In the Matter of Larry A. Stockett	34-11491	05/17/2004
In the Matter of Paul Melvin Henson, Jr.	AAER-2020	05/19/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Lance Turner Fair	AAER-2019	05/19/2004
SEC v. Eric Tyra, et al.	AAER-2026	05/21/2004
SEC v. Ocumed Group, Inc., et al.	AAER-2021	05/24/2004
SEC v. Paul Melvin Henson, Jr., et al.	AAER-2028A	05/27/2004
In the Matter of David A. Jones, CPA	AAER-2025	05/28/2004
SEC v. Del Global Technologies Corp., et al.	AAER-2027	06/01/2004
SEC v. Symbol Technologies, Inc., et al.	AAER-2029	06/03/2004
SEC v. John P. Miller	AAER-2035	06/08/2004
In the Matter of James H. Peach, Chartered Accountant	AAER-2047	06/09/2004
In the Matter of i2Technologies, Inc.	AAER-2033	06/09/2004
SEC v. i2 Technologies, Inc.	AAER-2034	06/09/2004
SEC v. Prabhat K. Goyal	AAER-2036	06/16/2004
SEC v. Victor Jacobowitz, et al.	AAER-2037	06/17/2004
In the Matter of Augustine M. Cruciotti	AAER-2040	06/21/2004
In the Matter of Steven L. Haggerty	AAER-2041	06/21/2004
SEC v. Augustine M. Cruciotti	AAER-2043	06/21/2004
SEC v. Steven L. Haggerty	AAER-2042	06/21/2004
SEC v. Gemstar-TV Guide International, Inc.	AAER-2045	06/23/2004
SEC v. Measurement Specialties, Inc., et al.	AAER-2046	06/28/2004
SEC v. Siebel Systems, Inc., et al.	LR-18766	06/29/2004
In the Matter of Kirk J. Dischino, CPA	AAER-2050	07/08/2004
In the Matter of James Dean, CPA	AAER-2052	07/09/2004
In the Matter of Michael Karlins, CPA	AAER-2054	07/09/2004
In the Matter of Levine, Hughes, and Mithuen, Inc.	AAER-2053	07/09/2004
SEC v. Levine, Hughes, and Mithuen, Inc.	AAER-2055	07/09/2004
In the Matter of Michael H. Taber, CPA	AAER-2057	07/21/2004
In the Matter of Raymond A. Saitta, CPA	AAER-2058	07/22/2004
In the Matter of Charter Communications, Inc.	AAER-2064	07/27/2004
SEC v. Michael Scrivo	AAER-2063	07/27/2004
In the Matter of Leslie Wasser, CPA	AAER-2062	07/27/2004
SEC v. Michael Resnick, et al.	LR-18797	07/27/2004
SEC v. Michael Felicissimo	AAER-2061	07/27/2004
SEC v. Andrew J. Zahn, et al.	AAER-2066	07/29/2004
In the Matter of Timothy J. Buzzelli, CPA	AAER-2067	07/29/2004
In the Matter of William F. Buettner, CPA	AAER-2070	08/02/2004
SEC v. Halliburton Company, et al.	AAER-2074	08/03/2004
In the Matter of Halliburton Company, et al.	AAER-2072	08/03/2004
SEC v. Gary V. Morris	AAER-2074	08/03/2004

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SEC v. Bristol-Myers Squibb Company	LR-18822	08/04/2004
SEC v. Peter C. Boylan	LR-18826	08/09/2004
In the Matter of Gary L. Seidelman, CPA	AAEF-2078	08/11/2004
In the Matter of Joseph Casuccio, CPA	AAER-2079	08/12/2004
In the Matter of Kenneth K. Livesay, CPA	AAER-2082	08/20/2004
In the Matter of Royal Dutch Petroleum Company, et al.	AAER-2085	08/24/2004
SEC v. Royal Dutch Petroleum Co., et al.	AAER-2086	08/24/2004
SEC v. Athena Diaz	AAER-2087	08/24/2004
SEC v. Mark E. Koenig	AAER-2088	08/25/2004
SEC v. Rodney E. Dausch, et al.	LR-18883	09/01/2004
SEC v. John Gorman, et al.	AAER-2094	09/08/2004
SEC v. Clayton Chan, et al.	AAER-2095	09/08/2004
In the Matter of John Gorman, et al.	AAER-2093	09/08/2004
In the Matter of Bruce Keith Jensen	AAER-2102	09/14/2004
In the Matter of Kemps LLC, f/k/a Marigold Foods, LLC, et al.	AAER-2101	09/14/2004
In the Matter of John K. Adams	AAER-2098	09/14/2004
In the Matter of Dean Foods Company, et al.	AAER-2100	09/14/2004
SEC v. Dean Foods Company, et al.	LR-18884	09/14/2004
SEC v. Kemps LLC, f/k/a Marigold Foods LLC, et al.	LR-18884	09/14/2004
SEC v. Digital Exchange Systems, Inc., et al.	LR-18884	09/14/2004
SEC v. John K. Adams	LR-18884	09/14/2004
SEC v. Bruce Keith Jensen	LR-18884	09/14/2004
In the Matter of Fleming Companies, Inc.	AAER-2097	09/14/2004
In the Matter of Digital Exchange Systems, Inc., et al.	AAER-2099	09/14/2004
In the Matter of McLeodUSA Incorporated	AAER-2103	09/15/2004
In the Matter of Senetek PLC	34-50400	09/16/2004
In the Matter of Daniel S. Lezak	34-50424	09/22/2004
SEC v. Steven Woghin	AAER-2106	09/22/2004
SEC v. Sanjay Kumar, et al.	AAER-2106	09/22/2004
SEC v. Computer Associates International, Inc.	AAER-2106	09/22/2004
SEC v. James T. Dooley, et al.	AAER-2109	09/23/2004
In the Matter of General Electric Company	34-50426	09/23/2004
In the Matter of John E. Isselmann, Jr.	34-50428	09/23/2004
SEC v. John E. Isselmann, Jr.	AAER-2109	09/23/2004
SEC v. Jeremy R. Lent, et al.	LR-18905	09/28/2004
SEC v. Sushil K. Garg, et al.	LR-18903	09/28/2004
SEC v. Donald M. Fitzpatrick, et al.	LR-18911	09/29/2004
SEC v. Marcy Wilson Roke	LR-18910	09/29/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Matthew M. Chiang	LR-18915	09/30/2004
SEC v. Jerry S. Chang	LR-18914	09/30/2004

(b) Other

SEC v. William A. Wilkerson	LR-18427	10/27/2003
In the Matter of William A. Wilkerson, et al.	34-48703	10/27/2003
SEC v. Brian J. Stucke	LR-18501	12/11/2003
In the Matter of BJ Services Company	AAER-1972	03/10/2004
In the Matter of Banc of America Securities, LLC	34-49386	03/10/2004
In the Matter of Gold Banc Corporation, Inc.	AAER-1999	05/04/2004
SEC v. Schering-Plough Corporation	LR-18740	06/09/2004
In the Matter of Schering-Plough Corporation	AAER-2032	06/09/2004
SEC v. ABB, Ltd.	AAER-2049	07/06/2004
In the Matter of John W. Adams, et al.	34-50427	09/23/2004

Market Manipulation

In the Matter of Rubin Investment Group, Inc., et al.	33-8299	10/02/2003
SEC v. B. Roland Frasier, III, et al.	LR-18391	10/03/2003
SEC v. Steven E. Muth, et al.	LR-18447	11/05/2003
In the Matter of Kirkpatrick, Pettis, Smith, Polian Inc., et al.	34-48748	11/05/2003
In the Matter of David P. Melillo	34-48790	11/17/2003
In the Matter of Valentin Fernandez, et al.	34-49270	12/01/2003
In the Matter of Robert H. Pozner	34-48907	12/11/2003
In the Matter of Luis F. Lorie	34-49073	12/12/2003
SEC v. Suheil M. Judeh	LR-18579	02/17/2004
SEC v. Aqua Vie Beverage Corp., et al.	LR-18586A	02/23/2004
SEC v. Moises Saba Masri, et al.	LR-18593	02/25/2004
In the Matter of Michael Puorro, et al.	34-49977	03/03/2004
SEC v. Nikolai Safavi	LR-18614	03/09/2004
In the Matter of Cosimo Tacopino	34-49484	03/26/2004
In the Matter of Michael Boston	34-49778	04/15/2004
SEC v. Vincent P. Iannazzo, et al.	LR-18671	04/19/2004
In the Matter of Cary R. Kahn	34-50383	04/26/2004
SEC v. LNB Bancorp, Inc., et al.	LR-18718	05/19/2004
In the Matter of Richard Wolff, et al.	34-50156	06/02/2004
In the Matter of Leonard Alexander Ruge, et al.	34-49794	06/02/2004
In the Matter of Richard S. Kern, et al.	34-50151	07/07/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Carl R. Rose, et al.	LR-18780	07/09/2004
SEC v. Michael Morrell, et al.	LR-18786	07/16/2004
In the Matter of CyberCare, Inc.	33-8444	07/16/2004
SEC v. Emission Controls Corp., et al.	LR-18788	07/21/2004
SEC v. Competitive Technologies, Inc., et al.	LR-18827	08/11/2004
SEC v. Peter F. Paul, et al.	LR-18828	08/11/2004
In the Matter of Ashley Nemiroff, et al.	34-50186	08/12/2004
In the Matter of Alfred J. Flores	34-50207	08/17/2004
In the Matter of Steven E. Muth	34-50223	08/20/2004
SEC v. Piranha, Inc., et al.	AAER-2084	08/23/2004
In the Matter of Graham Andrews	34-50234	08/24/2004
In the Matter of Andrew Sears	34-50256	08/25/2004
SEC v. Converge Global, Inc.	LR-18887	09/02/2004
In the Matter of Roberto E. Veitia	34-50358	09/13/2004
SEC v. Stanley Awdisho, et al.	LR-18894	09/21/2004
In the Matter of Donald L. Knight	34-50440	09/24/2004
SEC v. Robert J. Cassandro, et al.	LR-18909	09/29/2004
In the Matter of Joseph L. Lents, et al.	34-50479	09/30/2004
Miscellaneous		
SEC v. Van T. Dihn	LR-18401	10/09/2003
Newsletter/Touting		
In the Matter of Marc Barhonovich, et al.	33-8356	01/21/2004
In the Matter of Raylen Parra	34-49610	04/24/2004
Offering Violations		
SEC v. EPG Global Private Equity Fund, et al.	LR-18577	02/17/2004
SEC v. Brian Lee, et al.	LR-18838	10/03/2003
In the Matter of Adrian Balboa	34-48593	10/06/2003
In the Matter of James Mulhearn	34-48633	10/15/2003
SEC v. John L. Montana, et al.	LR-18411	10/15/2003
SEC v. The Rose Fund, LLC, et al.	LR-18415	10/16/2003
SEC v. David M. Wolfson, et al.	LR-18635	10/16/2003
In the Matter of Equity Alert.com, Inc., et al.	33-8306	10/23/2003
In the Matter of OTC Live, Inc., et al.	33-8307	10/23/2003

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Energy & Engine Technology Corp., et al.	33-8311	10/23/2003
In the Matter of First Capital International, Inc., et al.	33-8310	10/23/2003
In the Matter of Research Capital, LLC, et al.	33-8309	10/23/2003
In the Matter of Lorsin, Inc., et al.	33-8308	10/23/2003
In the Matter of Research Investment Group, Inc., et al.	33-8387	10/23/2003
In the Matter of Paul A. Barrios, III, et al.	34-49433	10/29/2003
SEC v. David B. Henderson, et al.	LR-18443	10/31/2003
In the Matter of Andrew Doney	34-48739	11/03/2003
SEC v. Patrick Ballinger, et al.	LR-18650	11/10/2003
SEC v. Enrico Cortesano	LR-18811	11/14/2003
SEC v. Koji Goto	LR-18490	11/14/2003
SEC v. IPIC International, Inc., et al.	LR-18470	11/17/2003
SEC v. United Currency Group, Inc., et al	LR-18471	11/19/2003
SEC v. Adam G. Kruger, et al.	LR-18473	11/19/2003
SEC v. Global Express Capital Real Estate Investment Fund I, LLC, et al.	LR-18513	12/04/2003
In the Matter of Paul Wayne Mason (aka Louis Ronnie Sarpy), et al.	34-49672	12/18/2003
SEC v. Opsis Technologies International, Inc., et al.	LR-18518	12/22/2003
SEC v. James P. Lewis, Jr., et al.	LR-18532	12/22/2003
SEC v. Zarrar Sheikh, et al.	LR-18539	12/23/2003
SEC v. Presidents Trust Company, LLC, et al.	LR-18528	12/31/2003
In the Matter of Leonard L. Zanello, Sr.	34-49031	01/07/2004
SEC v. Thomas T. Prousalis, Jr., et al.	LR-18533	01/07/2004
In the Matter of Michael L. Labertew	34-49039	01/08/2004
SEC v. Superior Opportunities, Inc., et al.	LR-18545	01/16/2004
In the Matter of Mark Richard Sendo	34-49089	01/16/2004
SEC v. Kings Real Estate Investment Trust, et al.	LR-18553	01/23/2004
SEC v. W.L. Ware Enterprises, Inc., et al.	LR-18813	01/27/2004
In the Matter of Celebrity Resorts and Casinos, Inc., et al.	33-8359	02/02/2004
SEC v. OCC Holdings, Ltd., et al.	LR-18573	02/11/2004
SEC v. Security Asset Capital Corporation, et al.	LR-18580	02/18/2004
SEC v. Darren Silverman, et al.	LR-18768	02/19/2004
In the Matter of Raymond J. Brown, et al.	34-49289	02/20/2004
In the Matter of Camilo Pereira	34-49321	02/26/2004
SEC v. Global Money Management, LP, et al.	LR-18666	03/11/2004
In the Matter of Michael Garian, aka Melkon Gharakhanian, aka Bika Balian	IA-2227	03/16/2004
SEC v. Uncommon Media Group, Inc., et al.	34-49493	03/23/2004

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

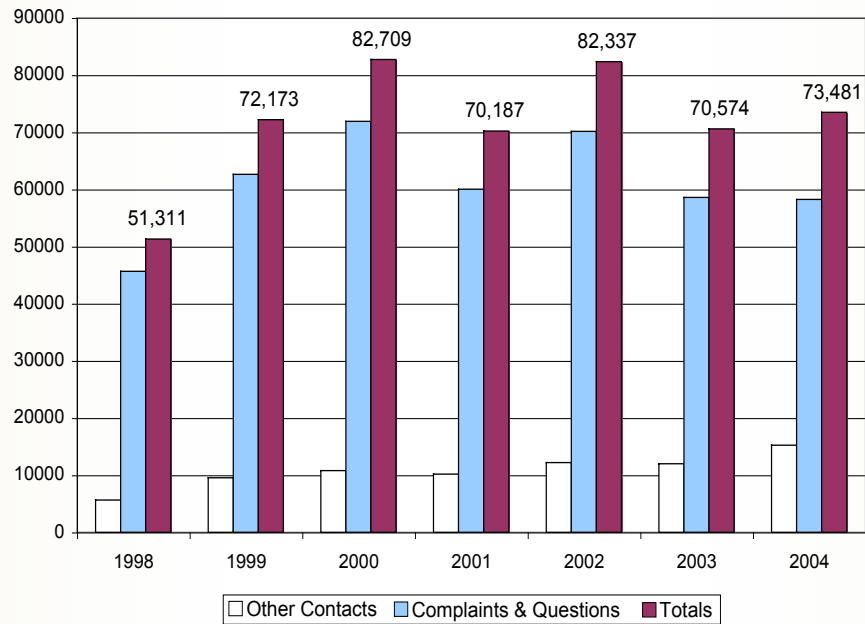
Pending as of October 1, 2003	2,926
Opened in Fiscal Year 2004	973
Total	3,899
Closed in Fiscal Year 2004	129
Pending as of September 30, 2004	3,770
Formal Orders of Investigation	
Issued in Fiscal Year 2004.....	261

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 one subpoena based upon Section 21(h)(2)(A)(ii), (iv) and (v) and two subpoenas based upon section 21(h)(2)(A)(iv), to obtain access to customer financial records. 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)	5
Section 1105 (Administrative Subpoenas)	178
Section 1107 (Judicial Subpoenas)	10
Section 1109 (Delayed Customer Notice)	0

Table 5
SEC TOTAL INVESTOR CONTACTS BY FISCAL YEAR



“Other contacts” includes repeat contacts, contacts with insufficient information to process, and contacts not within our jurisdiction.

Table 6
TEN MOST COMMON COMPLAINTS RECEIVED
DURING FISCAL YEAR 2004

	Complaints	FY 2004 Totals*	FY 2003 Totals*	Change
1	Manipulation of Securities, Prices, or Markets	1738	419	Up 315%
2	Advance Fee Fraud	1263	633	Up 100%
3	Unauthorized Transactions	802	809	Down 1%
4	Transfer of Account	789	739	Up 7%
5	Excessive or Unnecessary Administrative Fees	726	788	Down 8%
6	Bankruptcy or Issuer Reorganization	715	722	Down 1%
7	Account Closing: Problems with Redemption, Liquidation, or Closing	705	481	Up 47%
8	Misrepresentations: Inaccurate or Incomplete Disclosures	702	1006	Down 30%
9	Theft of Funds or Securities	660	787	Down 16%
10	Spam: Unwanted Emails or Faxes	622	N/A	N/A

*During 2004, we realigned several complaint codes to streamline our database and improve our data-reporting system. For that reason, some of our 2003 totals appear different than previously reported in our 2003 Annual Report.

Table 7
UNCONSOLIDATED FINANCIAL INFORMATION FOR BROKER-DEALERS
1999 – 2003 1/
(\$ in Millions)

	1999	2000	2001	2002	2003
<u>Revenues</u>					
Securities Commissions	\$ 45,937.4	\$ 54,106.7	\$ 44,763.8	\$ 45,001.1	\$ 45,539.2
Gains (Losses) in Trading and Investment Accounts	55,464.3	70,777.7	38,950.3	24,240.9	\$ 38,808.1
Profits (Losses) from Underwriting and Selling Groups	17,781.5	18,717.6	16,941.1	14,698.2	17,163.1
Margin Interest	15,246.7	24,546.9	13,911.5	6,439.9	5,261.0
Revenues from Sale of Investment Company Shares	16,687.6	19,394.9	16,396.4	15,654.9	16,200.2
All Other Revenues	115,692.0	161,949.4	149,132.8	115,775.9	95,984.5
Total Revenues	\$ 266,809.4	\$ 349,493.3	\$ 280,095.8	\$ 221,811.0	\$ 218,956.0
<u>Expenses</u>					
Registered Representatives' Compensation (Part II Only) 2/	\$ 29,048.7	\$ 33,191.0	\$ 29,950.8	\$ 27,388.6	\$ 28,578.2
Other Employee Compensation and Benefits	47,950.6	55,307.3	48,311.6	43,508.7	44,800.5
Compensation to Partners and Voting Stockholder Officers	4,737.7	6,707.8	5,247.4	3,973.9	4,058.2
Commissions and Clearance Paid to Other Brokers	13,488.3	15,522.7	14,043.4	15,003.9	17,163.1
Interest Expenses	87,508.3	131,877.2	98,947.2	56,401.6	5,261.0
Regulatory Fees and Expenses	1,040.8	1,366.7	1,550.9	1,383.0	16,200.2
All Other Expenses 2/	53,918.6	66,417.3	62,647.7	58,889.2	95,984.5
Total Expenses	\$ 237,693.1	\$ 310,390.0	\$ 260,698.9	\$ 206,549.0	\$ 218,956.0
<u>Income and Profitability</u>					
Pre-tax Income	\$ 29,116.3	\$ 39,103.3	\$ 19,396.9	\$ 15,262.0	\$ 25,655.4
Pre-tax Profit Margin	10.9%	11.2%	6.9%	6.9%	11.7%
Pre-tax Return on Equity	27.8%	31.1%	13.8%	10.7%	17.6%
<u>Assets, Liabilities and Capital</u>					
Total Assets	\$ 2,536,616.6	\$ 2,865,721.0	\$ 3,371,298.1	\$ 3,261,465.5	\$ 3,980,376.8
<u>Liabilities</u>					
(a) Unsubordinated Liabilities	2,363,222.6	2,663,758.3	3,158,257.2	3,050,039.2	3,754,978.7
(b) Subordinated Liabilities	59,425.0	64,362.3	68,693.6	69,434.0	75,929.5
(c) Total Liabilities	2,422,647.6	2,728,120.6	3,226,950.8	3,119,473.0	\$ 3,830,908.2
Ownership Equity	\$ 113,969.1	\$ 137,600.4	\$ 144,347.2	\$ 141,992.5	\$ 149,468.6
Number of Firms	7,461	7,258	7,002	6,768	6,565

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
1999 – 2003 ^{1/}
(\$ in Millions)

	1999	2000	2001	2002	2003
<u>Revenues</u>					
Securities Commissions	\$ 45,094.5	\$ 53,160.6	\$ 43,798.5	\$ 44,212.2	\$ 44,868.3
Gains (Losses) in Trading and Investment Accounts	48,917.9	60,720.3	33,566.5	20,090.4	33,747.9
Profits (Losses) from Underwriting and Selling Groups	17,780.7	18,718.0	16,941.2	14,697.5	17,163.1
Margin Interest	15,032.8	24,274.0	13,749.1	6,383.1	5,252.9
Revenues from Sale of Investment Company Shares	16,687.6	19,394.9	16,396.4	15,654.9	16,200.1
All Other Revenues	113,101.7	154,836.1	144,758.2	111,994.6	95,559.2
Total Revenues	<u>\$256,615.2</u>	<u>\$331,103.9</u>	<u>\$269,210.0</u>	<u>\$213,032.7</u>	<u>\$212,791.5</u>
<u>Expenses</u>					
Registered Representatives' Compensation (Part II only) ^{2/}	\$ 29,007.2	\$ 33,162.0	\$ 29,948.6	\$ 27,380.5	\$ 28,567.6
Other Employee Compensation and Benefits	46,856.4	53,356.7	46,967.1	42,398.2	43,885.8
Compensation to Partners and Voting Stockholder Officers	4,369.0	5,450.3	4,976.9	3,759.8	3,855.3
Commissions and Clearance Paid to Other Brokers	12,899.7	14,719.0	13,422.4	14,414.5	15,803.2
Interest Expenses	84,713.8	127,211.5	96,120.5	55,180.0	43,315.8
Regulatory Fees and Expenses	945.0	1,204.6	1,343.7	1,208.5	1,280.5
All Other Expenses ^{2/}	52,486.8	64,429.5	60,747.1	56,984.7	51,722.7
Total Expenses	<u>\$231,277.9</u>	<u>\$299,533.6</u>	<u>\$253,526.4</u>	<u>\$201,326.3</u>	<u>\$188,430.8</u>
<u>Income and Profitability</u>					
Pre-tax Income	\$ 25,337.3	\$ 31,570.3	\$ 15,683.6	\$ 1,706.4	\$ 24,360.7
Pre-tax Profit Margin	9.9%	9.5%	5.8%	5.5%	11.4%
Pre-tax Return on Equity	26.1%	27.5%	12.3%	9.2%	18.8%
Number of Firms	5,480	5,568	5,493	5,394	5,301

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, 1999 – 2003 1/
(\$ in Millions)

	1999	2000	2001	2002	2003
<u>Assets</u>					
Cash	\$ 30,915.7	\$ 33,472.4	\$ 50,722.9	\$ 47,710.9	\$ 50,219.2
Receivables from Other					
Broker-dealers	828,208.0	974,675.6	1,115,382.5	1,032,041.5	1,414,127.2
Receivables from Customers	205,904.5	203,704.3	177,944.3	132,739.7	163,107.2
Receivables from Non-customers	21,277.9	31,411.0	15,392.7	14,237.2	18,124.0
Long Positions in Securities and Commodities	529,931.2	614,927.6	775,941.9	789,608.2	1,004,562.4
Securities and Investments not Readily Marketable	10,566.6	9,845.9	10,486.6	9,729.6	11,516.8
Securities Purchased Under Agreements to Resell (Part II only) 2/	682,466.4	724,666.3	855,539.3	951,803.1	966,629.5
Exchange Membership	580.8	588.6	664.6	684.5	675.2
Other Assets 2/	79,596.8	120,788.9	212,798.3	135,646.5	154,872.6
Total Assets	\$2,389,447.9	\$2,714,080.5	\$3,214,873.2	\$3,114,201.2	\$3,783,834.1
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 58,190.5	\$ 80,745.4	\$ 75,897.2	\$ 51,369.7	\$ 74,199.5
Payables to Other Broker-dealers	415,101.0	473,215.1	562,210.8	466,809.3	742,116.9
Payables to Non-customers	40,916.5	50,748.0	56,710.4	60,817.5	66,146.9
Payables to Customers	282,996.0	359,818.6	391,358.5	349,781.6	407,244.9
Short Positions in Securities and Commodities	287,946.6	286,545.8	342,189.9	345,113.0	439,384.4
Securities Sold Under Repurchase Agreements (Part II only) 2/	973,524.9	1,092,436.3	1,282,754.8	1,405,679.3	1,564,762.4
Other Non-subordinated Liabilities 2/	166,699.4	182,476.9	306,860.4	242,125.0	280,547.5
Subordinated Liabilities	58,813.2	63,436.1	67,304.5	67,966.9	74,285.9
Total Liabilities	\$2,284,188.2	\$2,589,422.2	\$3,085,286.3	\$2,989,662.2	\$3,648,688.4
Equity Capital	\$ 105,259.7	\$ 124,658.3	\$ 129,586.9	\$ 124,539.0	\$ 135,145.7
Number of firms	5,480	5,568	5,493	5,394	5,301

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)

	2002		2003		Percent Change 2002-2003
	Dollars	Percent of Total Revenues	Dollars	Percent of Total Revenues	
<u>Revenues</u>					
Securities Commissions	\$ 31,034.5	18.3%	\$ 30,190.3	18.0%	-2.7%
Gains (Losses) in Trading and Investment Accounts	15,924.1	9.4	29,299.3	17.5	84.0
Profits (Losses) from Under- writing and Selling Groups	13,827.9	8.1	16,062.4	9.6	16.2
Margin Interest	6,383.1	3.8	5,252.9	3.1	-17.7
Revenues from Sale of Invest- ment Company Shares	8,076.0	4.8	8,340.0	4.8	-6.9
Miscellaneous Fees	13,576.7	8.0	13,370.6	8.0	-1.5
Revenues from Research	158.3	0.1	170.0	0.1	8.7
Other Securities Related Revenues	61,901.0	36.5	54,284.6	32.4	-12.3
Commodities Revenues	6,530.6	3.8	-1,617.6	-1.0	-124.8
All Other Revenues	12,368.3	7.3	12,137.3	7.2	-1.9
Total Revenues	<u>\$169,780.5</u>	<u>100.0%</u>	<u>\$167,492.3</u>	<u>100.0%</u>	<u>-1.3%</u>
<u>Expenses</u>					
Registered Representatives' Compensation	\$ 27,380.5	16.1%	\$ 28,567.6	17.1%	4.3%
Other Employee Compensation and Benefits	31,384.3	18.5	32,192.1	19.2	2.6
Compensation to Partners and Voting Stockholder Officers	1,611.6	0.9	1,785.1	1.1	10.8
Commissions and Clearance Paid to Other Brokers	6,077.5	3.6	6,429.9	3.8	5.8
Communications	4,954.3	2.9	4,376.2	2.6	-11.7
Occupancy and Equipment Costs	7,207.7	4.2	6,796.2	4.1	-5.7
Data Processing Costs	3,168.3	1.9	3,056.1	1.8	-3.5
Interest Expenses	54,440.0	32.1	42,685.7	25.5	-21.6
Regulatory Fees and Expenses	951.7	0.6	1,041.9	0.6	9.5
Losses in Error Accounts and Bad Debts	509.1	0.3	358.8	0.2	-29.5
All Other Expenses	22,892.9	13.5	19,837.7	11.8	-13.3
Total Expenses	<u>\$160,577.9</u>	<u>94.6%</u>	<u>\$147,127.2</u>	<u>87.8%</u>	<u>-8.4%</u>
<u>Income and Profitability</u>					
Pre-tax Income	\$ 9,202.6	5.4%	\$ 20,365.0	12.2%	121.3%
Pre-tax Profit Margin	5.4%		12.2%		
Pre-tax Return on Equity	9.2%		19.3%		
Number of Firms	605		585		

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)

	2002		2003		Percent Change 2002-2003
	Dollars	Percent of Total Assets	Dollars	Percent of Total Assets	
<u>Assets</u>					
Cash	\$ 46,931.2	1.5%	\$ 44,077.3	1.4%	-6.1%
Receivables from Other Broker-dealers	1,091,721.0	34.9	1,017,946.3	33.4	-6.8
(a) Securities Failed to Deliver	94,031.3	3.0	28,377.8	0.9	-69.8
(b) Securities Borrowed	949,334.2	30.3	939,412.8	30.8	-1.0
(c) Other	48,355.5	1.5	50,155.7	1.6	3.7
Receivables from Customers	177,944.3	5.7	132,739.7	4.4	-25.4
Receivables from Non-customers	14,568.5	0.5	13,431.1	0.4	-7.8
Long Positions in Securities and Commodities	737,335.1	23.6	758,946.7	24.9	2.9
(a) Bankers Acceptances, Certificates of Deposit and Commercial Paper	46,767.5	1.5	42,467.7	1.4	-9.2
(b) U.S. and Canadian Government Obligations	411,970.5	13.2	417,016.1	13.7	1.2
(c) State and Municipal Government Obligations	19,009.3	0.6	20,397.2	0.7	7.3
(d) Corporate Obligations	137,466.3	4.4	164,339.3	5.4	19.5
(e) Stocks and Warrants	81,395.3	2.6	70,755.0	2.3	-13.1
(f) Options	9,474.9	0.3	8,965.8	0.3	-5.4
(g) Arbitrage	15,763.9	0.5	15,129.1	0.5	-4.0
(h) Other Securities	15,483.8	0.5	19,510.5	0.6	26.0
(i) Spot Commodities	3.7	0.0	366.0	0.0	9791.9
Securities and Investments Not Readily Marketable	9,306.9	0.3	8,980.9	0.3	-3.5
Securities Purchased Under Agreements to Resell	855,539.3	27.3	951,803.1	31.2	11.3
Exchange Membership	573.0	0.0	597.8	0.0	4.3
Other Assets	196,591.6	6.3	119,672.3	3.9	-39.1
Total Assets	\$3,130,511.0	100.0%	\$3,048,195.1	100.0%	-2.6%
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 75,740.7	2.4%	51,233.5	1.7%	-32.4
Payables to Other Broker-dealers	536,412.7	17.1	454,490.1	14.9	-15.3
(a) Securities Failed to Receive	93,124.9	3.0	29,047.9	1.0	-68.8
(b) Securities Loaned	409,737.6	13.1	387,292.6	12.7	-5.5
(c) Other	33,550.1	1.1	38,149.5	1.3	13.7
Payables to Non-customers	55,551.8	1.8	59,771.0	2.0	7.6
Payables to Customers	391,358.5	12.5	349,781.6	11.5	-10.6
Short Positions in Securities and Commodities	324,947.7	10.4	331,817.7	10.9	2.1
Securities Sold Under Repurchase Agreements	1,282,754.8	41.0	1,405,679.3	46.1	9.6
Other Non-subordinated Liabilities	297,442.1	9.5	229,691.4	7.5%	-2.7%
Subordinated Liabilities	65,228.5	2.1	65,826.8	2.2	0.9
Total Liabilities	\$3,029,436.8	96.8%	\$2,948,291.4	96.7%	-2.7%
Equity Capital	\$ 101,074.2	3.2%	\$ 99,903.7	3.3%	-1.2%
Number of Firms	634		605		

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/}
1989	\$2,472,504	\$2,348,189	\$40,423	\$83,891	
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	\$22,736,795	\$22,290,859	\$164,085	\$281,851	2,501,247
2004	\$27,808,141	\$27,090,516	\$222,958	\$494,666	2,175,093

Calendar Year 2004

AMEX	\$681,797	\$558,040	\$37,375	\$86,383	0
BSE	\$681,553	\$666,806	\$5,364	\$9,383	0
CBOE	\$184,827	\$7,421	\$53,985	\$123,421	0
CHX	\$434,308	\$434,308	\$0	\$0	0
ISE	\$220,532	\$0	\$65,795	\$154,736	0
NASD	\$7,960,816	\$7,960,816	\$0	\$0	0
NQLX	\$224	\$0	\$0	\$224	255,411
NSX	\$2,906,965	\$2,906,965	\$0	\$0	0
NYSE	\$11,656,111	\$11,656,111	\$0	\$0	0
OneChicago	\$2,198	\$0	\$0	\$2,198	1,919,682
PCX	\$2,892,008	\$2,811,055	\$28,682	\$52,271	0
PHLX	\$186,800	\$88,994	\$31,757	\$66,049	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.

Table 13
SECURITIES LISTED ON EXCHANGES 1/
December 31, 2003

EXCHANGE	COMMON		PREFERRED		BONDS		TOTAL SECURITIES	
	Market Value		Market Value		Value 2/		Value	
Registered:	Number	(in Millions)	Number	(in Millions)	Number	(in Millions)	Number	(in Millions)
American	701	105,117.0	67	2,461.6	380	0.0	1,148	107,578.6
Boston	40	2,016.3	0	0.0	0	0.0	40	2,016.3
Cincinnati	0	0.0	0	0.0	0	0.0	0	0.0
Chicago								
New York	2,102	11,444,636.0	336	26,221.0	1,079	0.0	3,517	11,470,857.0
Pacific	3	61.9	2	43.0	2	45.1	7	150.0
Philadelphia	2	337.2	3	8.8	0	0.0	5	346.0
Total	2,848	11,552,168.4	408	28,734.4	1,461	45.1	4,717	11,580,947.9

Includes Foreign Stocks:

New York	472	669,463.0	28	17,542.0	194	0.0	694	687,005.0
American	55	59,045.6	0	0.0	0	0.0	55	59,045.6
Boston	5	176.5					5	176.5
Chicago								
Pacific	0	0.0	0	0.0		0.0	0	0.0
Philadelphia	0	0.0	0	0.0	0	0.0	0	0.0
Total	532	728,685.1	28	17,542.0	194	0.0	754	746,227.1

Figures may not sum due to rounding.

1/ Excludes securities that were suspended from trading at the end of the year and securities that, because of inactivity, had no available quotes.

2/ Principal value for all exchanges, except Pacific (PSE). PSE could provide only market value. The American (AMEX) and New York (NYSE) exchanges no longer can provide market values for bonds.

Source: SEC Form 1392

Table 14
VALUE OF STOCKS LISTED ON EXCHANGES
(\$ in Billions)

As of Dec 31	New York Stock Exchange	American Stock Exchange	Exclusively On Other Exchanges	Total
1938	\$ 47.5	\$ 10.8	\$	\$ 58.3
1940	46.5	10.1	\$ 56.6
1945	73.8	14.4	88.2
1950	93.8	13.9	3.3	111.0
1955	207.7	27.1	4.0	238.8
1960	307.0	24.2	4.1	335.3
1965	537.5	30.9	4.7	573.1
1970	636.4	39.5	4.8	680.7
1975	685.1	29.3	4.3	718.7
1980	1,242.8	103.5	2.9	1,349.2
1985	1,882.7	63.2	5.9	1,951.8
1990	2,692.1	69.9	3.9	2,765.9
1991	3,547.5	90.3	4.3	3,642.1
1992	3,877.9	86.4	5.9	3,970.2
1993	4,314.9	98.1	7.2	4,420.2
1994	4,240.8	86.5	4.7	4,332.0
1995	5,755.5	113.3	6.8	5,875.6
1996	6,947.7	106.2	5.7	7,059.6
1997	9,413.1	131.3	3.6	9,548.0
1998r	10,384.8	149.7	4.7	10,539.2
1999	11,556.2	82.5	6.7	11,645.4
2000	11,633.0	94.4	4.7	11,732.1
2001	11,126.2	82.9	9.4	11,218.6
2002	9,119.7	57.8	5.2	9,182.7
2003	11,470.9	107.6	2.4	11,580.9

Source: SEC Form 1392