

# SELECT SEC AND MARKET DATA FISCAL 2006

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**Table 1**  
**ENFORCEMENT MILESTONES**  
**FISCAL 2006**

<ul style="list-style-type: none"> <li>• Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$2.3 billion and to pay penalties of approximately \$975 million.</li> </ul>
<ul style="list-style-type: none"> <li>• Sought orders barring 97 defendants and respondents from serving as officers or directors of public companies.</li> </ul>
<ul style="list-style-type: none"> <li>• Sought emergency relief from federal courts in the form of temporary restraining orders (TROs) to halt ongoing fraudulent conduct in 37 actions, and sought asset freezes in 46 actions.</li> </ul>
<ul style="list-style-type: none"> <li>• Filed 7 actions to enforce investigative subpoenas.</li> </ul>
<ul style="list-style-type: none"> <li>• Halted trading in securities of 71 issuers about which there was inadequate public disclosure.</li> </ul>
<p>In SEC-related criminal cases, prosecutors filed indictments, informations, or contempts in 92 cases.</p>

**Table 2**  
**FISCAL 2006 ENFORCEMENT ACTION SUMMARY**  
**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	63	(145)	75	(94)	138	(239)	24%
Broker Dealer	6	(13)	69	(94)	75	(107)	13%
Investment Advisers	17	(52)	70	(109)	87	(161)	15%
Securities Offering Cases	46	(213)	15	(19)	61	(232)	11%
Delinquent Filings	0	(0)	91	(169)	91	(169)	16%
Insider Trading Cases	37	(85)	9	(9)	46	(94)	8%
Market Manipulation Cases	22	(75)	5	(7)	27	(82)	5%
Civil Contempt	21	(29)	0	(0)	21	(29)	4%
Transfer Agents	2	(7)	4	(4)	6	(11)	1%
Municipal Offering	0	(0)	8	(9)	8	(9)	1%
Self-Regulatory Organization	0	(0)	1	(1)	1	(1)	0%
Investment Companies	2	(9)	6	(12)	8	(21)	1%
Miscellaneous Cases	2	(3)	3	(5)	5	(10)	1%
TOTALS	218	(631)	356	(532)	574	(1163)	100%

Table 3  
FISCAL 2006 ENFORCEMENT CASES  
LISTED BY PROGRAM AREA

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
<b>Broker -Dealer</b>		
In the Matter of Louis Montaino	34-52595	10/12/2005
In the Matter of Michael Eisemann	34-52594	10/12/2005
In the Matter of Kermit Silva	34-52617	10/17/2005
In the Matter of Instinet, LLC, et al.	34-52623	10/18/2005
In the Matter of Robert Henricks	34-52833	10/31/2005
In the Matter of Bill Laron Stapleton	34-52703	10/31/2005
In the Matter of Kraig L. Kibble	34-52728	11/03/2005
In the Matter of Van D. Greenfield, et al.	34-52744	11/07/2005
In the Matter of Michael Garbo	34-52788	11/17/2005
SEC v. Berton M. Hochfeld, et al.	LR-19474	11/23/2005
In the Matter of Philip D. Phillips	34-53033	12/28/2005
In the Matter of JB Oxford Holdings, Inc.	34-53137	01/18/2006
In the Matter of Michael J. Healey	34-53144	01/19/2006
In the Matter of Berton M. Hochfeld	34-53160	01/20/2006
In the Matter of Stephen J. Horning	34-53163	01/20/2006
In the Matter of Daniel Calugar	34-53179	01/25/2006
In the Matter of James J. Caprio	34-53178	01/25/2006
In the Matter of Kimberly J. Carrella, et al.	34-53198	01/31/2006
In the Matter of James G. Lewis	34-53210	02/02/2006
In the Matter of James Y. Lin	34-53209	02/02/2006
In the Matter of Glen E. Miller	34-53335	02/17/2006
In the Matter of Merrill Lynch, Pierce, Fenner & Smith, Incorporated	34-53473	03/13/2006
In the Matter of Bear, Stearns & Co., Inc., et al.	33-8668	03/16/2006
In the Matter of Dominick J. Savino	34-53492	03/16/2006
In the Matter of Marion D. Sherrill	34-53611	04/06/2006
In the Matter of Metropolitan Life Insurance Company	34-53624	04/10/2006
In the Matter of Thomas J. Gerbasio	34-53622	04/10/2006
In the Matter of INET ATS, Inc.	34-53631	04/12/2006
In the Matter of James Joseph Conway	34-53722	04/25/2006
In the Matter of Paul Bornstein	34-53726	04/26/2006
In the Matter of James R. Mancuso	34-53738	04/28/2006
In the Matter of Kevin J. Barton	34-53741	04/28/2006
In the Matter of Noel J. Belmonte	34-53740	04/28/2006
In the Matter of Philip J. Hourican	34-53739	04/28/2006
SEC v. Dennis A. Martin	LR-19691	05/08/2006
SEC v. Morgan Stanley & Co. Incorporated	LR-19693	05/10/2006
In the Matter of Konstantine Drakopoulos	34-53792	05/11/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter Donna Yeager, et al.	34-53801	05/15/2006
In the Matter Brandon T. Bush	34-53813	05/16/2006
In the Matter of Crowell, Weedon & Co.	34-53847	05/22/2006
In the Matter of Carl Cunzio	34-53884	05/30/2006
In the Matter of Jeffrey "Yefim" Bassin	34-53885	05/30/2006
In the Matter of Otto Kozak	34-53886	05/30/2006
In the Matter of Patrick McFadden	34-53883	05/30/2006
In the Matter of Robert Kozak, et al.	34-53887	05/30/2006
In the Matter of Joseph R. Huard, Jr., et al.	34-53904	05/31/2006
In the Matter of Bear, Stearns & Co. Inc., et al.	33-8684	05/31/2006
In the Matter of John F. Helbock, et al.	34-53905	05/31/2006
In the Matter of Robert W. Oakes, Jr.	34-53906	05/31/2006
In the Matter of Angelo Paul Koupas	34-53926	06/01/2006
In the Matter of Christopher Roundtree	34-53925	06/01/2006
In the Matter of Kyle Rowe	34-53927	06/01/2006
In the Matter of Salomon Grey Financial Corporation	34-53928	06/01/2006
In the Matter of Frank Monroig	34-53974	06/12/2006
In the Matter of Morgan Stanley & Co. Incorporated, et al.	34-54047	06/27/2006
In the Matter of Todd J. Cohen	34-54108	07/06/2006
In the Matter of Hector J. Garcia	34-54116	07/10/2006
In the Matter of IFMG Securities, Inc.	33-8720	07/13/2006
In the Matter of Herzog, Heine, Geduld, LLC, et al.	34-54148	07/14/2006
In the Matter of Senior Resources Asset Fund, LLC, et al.	33-8723	07/17/2006
In the Matter of Gerard McCallion	34-54196	07/24/2006
In the Matter of Robert P. Hetzer	34-54219	07/26/2006
SEC v. Robert J. Bradbury, et al.	LR-19792	08/03/2006
In the Matter of Peter D. Kirschner	34-54281	08/08/2006
SEC v. Peter D. Kirschner, et al.	LR-19795	08/08/2006
In the Matter of Emanuele A. Scarso	34-54349	08/22/2006
In the Matter of John M. Lucarelli	34-54361	08/25/2006
In the Matter of Prudential Equity Group, LLC	34-54371	08/28/2006
SEC v. Frederick J. O'Meally, et al.	LR-19813	08/28/2006
In the Matter of Robert Vitale	34-54393	08/31/2006
In the Matter of Salvatore Puccio	34-54392	08/31/2006
In the Matter of Dawn M. Reese	34-54468	09/18/2006
In the Matter of Scott G. Monson	40-27497	09/25/2006
In the Matter of Maurice Servetnick	34-54535	09/28/2006
In the Matter Robert K. Malkin, et al.	33-8747	09/29/2006
<b>Contempt Civil</b>		
SEC v. Randall T. Treadwell	LR-19442	10/24/2005
SEC v. Lawrence Shaw	None	10/26/2005
SEC v. Credit First Fund, L.P., et al.	LR-19497	12/15/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Shea Silva	None	01/03/2006
SEC v. Lazare Industries, Inc., et al.	None	01/27/2006
SEC v. U.S. Wind Farming, Inc., et al.	LR-19546	01/27/2006
SEC v. George A. Todt, et al.	None	02/10/2006
SEC v. Neulan D. Midkiff, et al.	LR-19620	03/21/2006
SEC v. Jon H. Marple	None	03/27/2006
SEC v. Wallace Nakano	None	03/28/2006
SEC v. David R. Lund, et al.	LR-19660	03/31/2006
SEC v. James Vincent O'Brien, et al.	LR-19646	04/03/2006
SEC v. Michael Lauer	None	05/04/2006
SEC v. Luis M. Cornide	None	05/09/2006
SEC v. Michael J. Wright	LR-19742	06/07/2006
SEC v. John Kim	None	06/13/2006
SEC v. Northshore Asset Management, et al.	LR-19733	06/14/2006
SEC v. Gary Lynn McDuff	None	06/21/2006
SEC v. Anthony P. Caliendo	None	07/10/2006
SEC v. Michael A. Lomas	LR-19836	09/06/2006
SEC v. Milon Lyle Brock	None	11/22/2006
<b>Delinquent Filing: Issuer Reporting</b>		
In the Matter of American Plastics & Chemicals, Inc., et al.	34-52560	10/04/2005
In the Matter of Finantra Capital, Inc, et al.	34-52883	10/04/2005
In the Matter of BrandAid Marketing Corporation	34-52585	10/12/2005
In the Matter of Diagnostic International, Inc.	34-52584	10/12/2005
In the Matter of Financial Systems Group, Inc.	34-52590	10/12/2005
In the Matter of Homes For America Holdings, Inc.	34-52589	10/12/2005
In the Matter of Ingenuus Corp.	34-52588	10/12/2005
In the Matter of Mineral Energy and Technology Corporation	34-52587	10/12/2005
In the Matter of Realigent, Inc.	34-52586	10/12/2005
In the Matter of Intercallnet, Inc.	34-52641	10/19/2005
In the Matter of Western United Holding Company	34-52661	10/25/2005
In the Matter of Team Communications Group, Inc.	34-52737	11/04/2005
In the Matter of Air Packaging Technologies, Inc., et al.	34-52751	11/08/2005
In the Matter of Microage, Inc., et al.	34-52751	11/08/2005
In the Matter of American Group, Inc.	34-52771	11/14/2005
In the Matter of Oretch, Inc.	34-52988	12/21/2005
In the Matter of eSafetyworld, Inc.	34-53087	01/10/2006
In the Matter of Friedman's Inc.	34-53086	01/10/2006
In the Matter of Safe Transportation Systems, Inc.	34-53141	01/19/2006
In the Matter of Metropolitan Mortgage & Securities Co., Inc.	34-53183	01/27/2006
In the Matter of Summit Securities, Inc.	34-53184	01/27/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Riverstone Networks, Inc.	34-53268	02/10/2006
In the Matter of AM Communications, Inc.	34-53289	02/15/2006
In the Matter of Aries Holdings, Inc.	34-53290	02/15/2006
In the Matter of AuctionDiner.com, Inc.	34-53291	02/15/2006
In the Matter of BIOMED Research Technologies, Inc.	34-53292	02/15/2006
In the Matter of BMC Industries, Inc.	34-53293	02/15/2006
In the Matter of Charm Capital Corp.	34-53294	02/15/2006
In the Matter of Cumberland Technologies, Inc.	34-53295	02/15/2006
In the Matter of Datatec Systems, Inc.	34-53296	02/15/2006
In the Matter of Datec Group, Ltd.	34-53297	02/15/2006
In the Matter of Enviro-Recovery, Inc.	34-53298	02/15/2006
In the Matter of Frontier Insurance Group, Inc.	34-53299	02/15/2006
In the Matter of Globalstar Telecommunications Limited	34-53300	02/15/2006
In the Matter of Host Funding, Inc.	34-53301	02/15/2006
In the Matter of Leadville Corporation	34-53302	02/15/2006
In the Matter of Level Jump Financial Group	34-53303	02/15/2006
In the Matter of Maritek Corporation	34-53304	02/15/2006
In the Matter of Marketing Educational Corporation	34-53305	02/15/2006
In the Matter of Mega-C Power Corporation, f/k/a Net Capital Ventures Corp.	34-53306	02/15/2006
In the Matter of Model Capital Corp.	34-53307	02/15/2006
In the Matter of Newstar Media, Inc.	34-53308	02/15/2006
In the Matter of Olicom A/S	34-53309	02/15/2006
In the Matter of Parade Holdings, Inc.	34-53310	02/15/2006
In the Matter of Pepper Capital Corp.	34-53311	02/15/2006
In the Matter of Reliance Group Holdings, Inc.	34-53312	02/15/2006
In the Matter of Westergaard.com, Inc.	34-53313	02/15/2006
In the Matter of iBIZ Technology Corp.	34-53323	02/16/2006
In the Matter of Eagle Environmental Technologies, LTD	34-53373	02/27/2006
In the Matter of M & A West, Inc.	34-53389	02/28/2006
In the Matter of GMC Holding Corporation	34-53448	03/08/2006
In the Matter of Gary Player Direct, Inc., et al.	34-53456	03/09/2006
In the Matter of Biopulse International, Inc., et al.	34-53465	03/10/2006
In the Matter of Bio-Heal Laboratories, Inc.	34-53550	03/24/2006
In the Matter of International Biochemical Industries, Inc.	34-53590	04/04/2006
In the Matter of Bullhide Corp., et al.	34-53714	04/25/2006
In the Matter of Regent Energy Corp., et al.	34-53712	04/25/2006
In the Matter of Lemenis Ltd.	34-53724	04/26/2006
In the Matter of MCSi, Inc.	34-53759	05/04/2006
In the Matter of Suprema Specialties, Inc.	34-53779	05/10/2006
In the Matter of Quintus Corporation	34-53802	05/15/2006
In the Matter of Universal Medical Systems, Inc.	34-53915	06/01/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of America's Sports Voice, Inc., et al.	34-53986	06/15/2006
In the Matter of Auspex Liquidating Corp.	34-53991	06/15/2006
In the Matter of Legacy Mining Ltd.	34-53992	06/15/2006
In the Matter of Optimark Holdings, Inc.	34-53989	06/15/2006
In the Matter of Pillowtex Corporation	34-53987	06/15/2006
In the Matter of Polar Cargo Systems, Inc.	34-53990	06/15/2006
In the Matter of The Arlen Corporation	34-53988	06/15/2006
In the Matter of Gizmo Company, et al.	34-54072	06/30/2006
In the Matter of 2DoTrade, Inc.	34-54157	07/17/2006
In the Matter of Cybercare, Inc.	34-54188	07/21/2006
In the Matter of Hancock Holdings, Inc., et al.	34-54201	07/25/2006
In the Matter of Andover Apparel Group, Inc., et al.	34-54212	07/26/2006
In the Matter of Digital Transmission Systems, Inc., et al.	34-54212	07/26/2006
In the Matter of Go Online Networks Corp., et al.	34-54212	07/26/2006
In the Matter of Bilogic, Inc., et al.	34-54293	08/09/2006
In the Matter of Paystar Corp., et al.	34-54370	08/28/2006
In the Matter of AIC International, Inc., et al.	34-54404	09/06/2006
In the Matter of Amour Fiber Core, Inc., et al.	34-54432	09/13/2006
In the Matter of Indigenous Global Development Corporation	34-54431	09/13/2006
In the Matter of Grupo Elektra, S.A. de C.V.	34-54447	09/14/2006
In the Matter of Grupo Iusacell, S.A. de C.V.	34-54446	09/14/2006
In the Matter of TV Azteca, S.A. de C.V.	34-54445	09/14/2006
In the Matter of Naturally Niagara Beverage Corporation	34-54472	09/20/2006
In the Matter of China Energy Savings Technology, Inc.	34-54502	09/26/2006
In the Matter of U.S. Gas & Electric, Inc.	34-54516	09/26/2006
In the Matter of World Information Technology, Inc.	34-54506	09/26/2006
In the Matter of China Continental, Inc. and Xcelera, Inc.	34-54523	09/27/2006
In the Matter of Cycomm International, Inc., et al.	34-54523	09/27/2006
In the Matter of Geographics, Inc., et al.	34-54518	09/27/2006
<b>Insider Trading</b>		
SEC v. Robert B. Petrosky	LR-19429	10/12/2005
In the Matter Frank J. Furino	34-52636	10/19/2005
SEC v. Lohmus Haavel & Viisemann, et al.	LR-19450	11/01/2005
SEC v. One or More Unknown Purchasers of Call Options	LR-19457	11/03/2005
In the Matter of Ralph D. Casbarro	34-52762	11/10/2005
SEC v. Gary D. Herwitz, et al.	LR-19499	12/19/2005
In the Matter of Robert Breed	34-53010	12/22/2005
SEC v. Gregory N. Champe	LR-19514	12/22/2005
SEC v. Lee David Edelman	LR-19518	01/03/2006
SEC v. Thomas J. Bucknum	LR-19528	01/12/2006
SEC v. Deog Kyoon Jeong	LR-19531	01/18/2006
In the Matter of Robert Y. Joo	34-53169	01/23/2006



<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Mark Kishell	LR-19538	01/23/2006
SEC v. Victor J. Menezes	LR-19549	01/31/2006
SEC v. William A. Day	LR-19553	02/02/2006
SEC v. Sanjiv S. Agarwala	LR-19568	02/16/2006
SEC v. Alan Cao, et al.	LR-19586	03/02/2006
SEC v. Mitchell Drucker, et al.	LR-19587	03/02/2006
In the Matter of Michael K.C. Tom	IA-2494	03/08/2006
SEC v. Langley Partners, L.P., et al.	LR-19607	03/14/2006
In the Matter of Sanjay Singh	33-8673	03/21/2006
SEC v. A.B. Watley Group, Inc., et al.	LR-19616	03/21/2006
SEC v. Terry F. Favilla, et al.	LR-19628	03/29/2006
SEC v. Alexander J. Yaroshinsky	LR-19636	04/03/2006
SEC v. Xiangsha Feng	LR-19648	04/06/2006
SEC v. Diane Karaoulis	LR-19649	04/10/2006
SEC v. Kenneth M. Gerland, et al.	LR-19649	04/10/2006
SEC v. Patrick I. Garvey	LR-19649	04/10/2006
SEC v. Garner Anthony	LR-19654	04/11/2006
SEC v. David N. Anderson, et al.	LR-19665	04/24/2006
In the Matter of William B. Deakins	34-53719	04/25/2006
SEC v. Nelson J. Obus, et al.	LR-19667	04/25/2006
SEC v. Deephaven Capital Management, LLC, et al.	LR-19683	05/02/2006
SEC v. Leonard P. Leclerc, et al.	LR-19684	05/02/2006
SEC v. Robert J. Downs, Jr. et al.	LR-19698	05/15/2006
In the Matter of Paul F. Coughlin	34-53845	05/19/2006
SEC v. Frederick W. Anton III	LR-19712	05/31/2006
SEC v. Matthew Roszak, et al.	LR-19722	06/08/2006
SEC v. Ricardo Cavallero, et al.	LR-19731	06/15/2006
SEC v. Justin Huscher	LR-19736	06/22/2006
SEC v. Petco Animal Supplies, Inc.	LR-19778	07/18/2006
SEC v. John J. Kahl, Jr., et al.	LR-19767	07/19/2006
In the Matter of Justin Huscher	IA-2536	07/21/2006
SEC v. Harish K. Pimplaskar, et al.	LR-19777	07/27/2006
SEC v. Stewart P. "Tom" Mitchell	LR-19816	08/30/2006
SEC v. Graham J. Lefford	LR-19845	09/26/2006
<b>Investment Adviser</b>		
In the Matter of Angelo Haligiannis	IA-2441	10/12/2005
In the Matter of Robert Radano	IA-2442	10/12/2005
SEC v. Theodore Charles Sihpol III	LR-19422	10/12/2005
SEC v. Mark R. Conway, et al.	LR-19460	11/04/2005
SEC v. Vincent A. Lenarcic, Jr., et al.	LR-19478	11/21/2005
In the Matter of Joseph A. Feron, Jr.	IA-2447	11/25/2005
In the Matter of Federated Investment Management Company, et al.	34-52839	11/28/2005
In the Matter of James A. Franklin, Jr.	34-52847	11/29/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Joseph W. Daniel	IA-2450	11/29/2005
In the Matter of Ameriprise Financial Services, Inc.	33-8637	12/01/2005
In the Matter of Ameriprise Financial, Inc.	IA-2451	12/01/2005
In the Matter of Maxwell Investments, LLC, et al.	33-8640	12/01/2005
In the Matter of Millennium Partners, LP., et al.	33-8639	12/01/2005
In the Matter of Renn Capital Group, Inc.	IA-2454	12/01/2005
In the Matter of Gerson Asset Management, Inc, et al.	34-52880	12/02/2005
In the Matter John S. Pepper	34-52962	12/16/2005
In the Matter of Martin J. Druffner	34-52963	12/16/2005
In the Matter of Skifter Ajro	34-52964	12/16/2005
In the Matter of Veras Capital Master Fund, et al.	33-8646	12/22/2005
SEC v. Brent William Federighi, et al.	LR-19510	12/22/2005
In the Matter Bradford C. Bleidt	34-53023	12/27/2005
In the Matter of Schultz Investment Advisors, Inc., et al.	33-8650	12/28/2005
In the Matter of David M. Faubert	34-53089	01/10/2006
In the Matter of N2K Trading Academy, Inc.	IA-2479	02/03/2006
In the Matter of Terry Harris	IA-2480	02/03/2006
In the Matter of Jack Anthony Huggins	IA-2481	02/07/2006
In the Matter of Jon M. Knight	IA-2482	02/07/2006
In the Matter of Scott R. Sacane	IA-2483	02/07/2006
In the Matter of Morgan Keegan & Co	34-53251	02/08/2006
In the Matter of Thomas J. Robbins	IA-2485	02/08/2006
In the Matter of Jonathan M. Rozek	34-53340	02/21/2006
In the Matter of New England Securities Corp.	IA- 2489	02/21/2006
In the Matter of Thomas W. McConnell	34-53339	02/21/2006
SEC v. Kirk S. Wright, et al.	LR-19581	02/27/2006
In the Matter of J. Douglas Schmidt	IA-2491	02/28/2006
SEC v. Michael A. Liberty, et al.	LR-19601	03/08/2006
SEC v. BMA Ventures, Inc., et al.	LR-19606	03/10/2006
In the Matter of John Kim	IA-2496	03/16/2006
In the Matter of Kautilya "Tony" Sharma	34-53507	03/17/2006
In the Matter of James R. Dickey	34-53555	03/27/2006
SEC v. Jamerica, Inc., et al.	LR-19632	03/29/2006
In the Matter of Global Crown Capital, LLC, et al.	IA-2503	03/30/2006
In the Matter of Jon E. Hankins	IA-2506	04/03/2006
SEC v. David L. McMillan	LR-19658	04/04/2006
In the Matter of Brad A. Weaver	34-53627	04/10/2006
SEC v. David A. Dadante	LR-19662	04/18/2006
In the Matter of Kieran J. Dale	IA-2511	04/19/2006
In the Matter of Sharon E. Vaughn, et al.	34-53680	04/19/2006
SEC v. CMG-Capital Management Group Holding Company, LLC, et al.	LR-19680	05/01/2006
In the Matter of David Henry Disraeli, et al.	33-8682	05/05/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Hutchens Investment Management, Inc., et al.	IA-2514	05/09/2006
In the Matter of Samuel Israel II, et al.	34-53775	05/09/2006
SEC v. James Tambone, et al.	LR-19708	05/19/2006
In the Matter of Bruce Lieberman	IA-2517	05/26/2006
In the Matter of Geek Securities, Inc., et al.	34-53881	05/30/2006
In the Matter of CapitalWorks Investment Partners, LLC, et al.	IA-2520	06/01/2006
SEC v. Frank J. Russo, et al.	LR-19718	06/01/2006
In the Matter of Jeffrey L. Gibson	34-53939	06/05/2006
In the Matter of Robert E. Shannon	34-54132	06/08/2006
In the Matter of Kenneth W. Corba	IA-2523	06/16/2006
In the Matter of Evan Misshula	33-8714	06/21/2006
In the Matter of Weiss Research, Inc., et al.	IA-2525	06/22/2006
In the Matter of Wendy Feldman Purner	34-54068	06/29/2006
SEC v. Wendy Feldman Purner	LR-19748	06/29/2006
In the Matter of Steven A. Gilman, et al.	34-54091	07/03/2006
In the Matter of Veritas Financial Advisors, LLC, et al.	34-54098	07/05/2006
In the Matter of Warwick Capital Management, Inc., et al.	IA-2530	07/06/2006
In the Matter of Richard W. Deboe	34-54114	07/10/2006
In the Matter of Terry F. Allen	IA-2535	07/12/2006
In the Matter of Waddell & Reed, Inc., et al.	IA-2537	07/24/2006
In the Matter of Michael L. Hershey	IA-2538	07/26/2006
In the Matter of Warren Lammert, et al.	33-8727	07/31/2006
In the Matter of Won Charlie Yi	IA-2541	08/03/2006
SEC v. Knox H. Fugua, et al.	LR-19815	08/28/2006
In the Matter of Gartmore Mutual Fund Capital Trust	IA-2548	09/07/2006
In the Matter of Kensington Investment Group, Inc.	IA-2545	09/07/2006
In the Matter of Numeric Investors LLC	IA-2546	09/07/2006
In the Matter of Putnam Investment Management, LLC	IA-2547	09/07/2006
In the Matter of The Dreyfus Corporation	IA-2549	09/07/2006
SEC v. AA Capital Partners, Inc., et al.	LR-19826	09/12/2006
In the Matter of Vincent Montagna	IA-2551	09/22/2006
In the Matter of BISYS Fund Services, Inc.	IA-2554	09/26/2006
In the Matter of Brendan E. Murray	IA-2557	09/26/2006
In the Matter of Conrad P. Seghers	IA-2555	09/26/2006
In the Matter of James A. DeMatteo	IA-2556	09/26/2006
In the Matter of Deutsche Investment Management Americas, Inc.	IA-2558	09/28/2006
SEC v. C. Wesley Rhodes, Jr.	LR-19855	09/29/2006
<b>Investment Company</b>		
SEC v. Wood River Capital Management, LLC, et al.	LR-19428	10/13/2005
SEC v. SBM Investment Certificates, Inc., et al.	LR-19638	04/04/2006
In the Matter of Unified Fund Services, Inc., et al.	34-53762	05/05/2006
In the Matter of Vaughn Weimer	40-27313	05/05/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Delaware Service Company, Inc.	40-27473	08/30/2006
In the Matter of James A. Casselberry, Jr.	40-2550	09/14/2006
In the Matter of Dunham & Associates Holdings, Inc.	33-8740	09/22/2006
In the Matter of Strong Capital Management, Inc.	IA-2560	09/29/2006
<b>Issuer Reporting and Disclosure</b>		
In the Matter of Duane Kimble, CPA, et al.	34-52554	10/03/2005
SEC v. Duane Kimble, et al.	LR-19416	10/03/2005
SEC v. Fred Gold, et al.	LR-19417	10/06/2005
In the Matter of John Houldsworth, CA	34-52582	10/11/2005
In the Matter of Thomas Hauke, CPA	34-52597	10/13/2005
SEC v. Brandmakers, Inc., et al.	LR-19432	10/18/2005
SEC v. Brian Crowley	LR-19454	11/02/2005
SEC v. Dale Schulz	LR-19454	11/02/2005
SEC v. David G. Zilli	LR-19455	11/02/2005
SEC v. Ernie Rosenberg	LR-19454	11/02/2005
SEC v. Frank Lysiak	LR-19454	11/02/2005
SEC v. Larry Stone	LR-19454	11/02/2005
SEC v. Ritchie Langfield	LR-19454	11/02/2005
SEC v. Robert Henuset	LR-19454	11/02/2005
In the Matter of Eric Tyra, CPA	34-52726	11/03/2005
In the Matter of Salvatore Censoprano, CPA	34-52763	11/10/2005
SEC v. Joanthan D. Nelson, et al.	LR-19467	11/16/2005
In the Matter of John D. Parson, CPA, et al.	34-52792	11/18/2005
SEC v. Friedman's Inc.	LR-19477	11/30/2005
In the Matter of Joseph T. Boyle, CPA	34-52878	12/02/2005
In the Matter of Gilbert Bergsman, CPA, et al.	34-52959	12/15/2005
SEC v. eSafety World, Inc., et al.	LR-19494	12/15/2005
In the Matter of Kenneth R. Lecrone, CPA	33-8647	12/22/2005
In the Matter of Applix, Inc.	33-8651	01/04/2006
SEC v. Alan C. Goldsworthy, et al.	LR-19521	01/04/2006
SEC v. McAfee, Inc.	LR-19520	01/04/2006
In the Matter of Pegasus Satellite Communications, Inc., et al.	33-8653	01/11/2006
In the Matter of Herbert J. Mortland, CPA, et al.	34-53162	01/20/2006
SEC v. Stansbury Holdings Corporation, et al.	LR-19537	01/20/2006
SEC v. Thomas P. Clark	LR-19548	01/27/2006
SEC v. Ronald Ferguson, et al.	LR-19552	02/02/2006
In the Matter of Cummins Inc.	34-53236	02/07/2006
In the Matter of Lawrence A. Stoler, CPA	33-8660	02/09/2006
SEC v. American International Group, Inc.	LR-19560	02/09/2006
SEC v. Lori G. Addison	LR-19564	02/14/2006
In the Matter of Kevin M. Hall, CPA, et al.	34-53326	02/16/2006
In the Matter of Asia4Sale.com, Inc.	34-53336	02/17/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Edward A. Heil, CPA	34-53330	02/17/2006
In the Matter of Axum, Incorporated	33-8680	02/21/2006
In the Matter of Thomas J. Yoho, CPA	34-53344	02/22/2006
In the Matter of Geoffrey Jie Wei, CPA (China)	34-53378	02/27/2006
In the Matter of Gregory G. Nelson, CPA	34-53380	02/27/2006
In the Matter of Helen Haiwen He	33-8664	02/27/2006
In the Matter of Leonard Goldner	34-53375	02/27/2006
In the Matter of Sun Communities, Inc., et al.	33-8665	02/27/2006
SEC v. Jeffrey P. Jorissen, et al.	LR-19580	02/27/2006
SEC v. NetEase.com	LR-19578	02/27/2006
In the Matter of Elsie M. Leung, CPA	34-53387	02/28/2006
In the Matter of Michael A. Conway, CPA	34-53391	03/01/2006
In the Matter of Ronald A. Safran, CPA	34-53392	03/01/2006
In the Matter of Andrew J. McAdams, CPA	34-53404	03/03/2006
In the Matter of Michael B. Johnson, CPA, et al.	34-53444	03/08/2006
In the Matter of Jon M. Bloodworth, Esq.	34-53489	03/16/2006
In the Matter of Bruce G. Hill, Esq.	34-53517	03/20/2006
In the Matter of Anthony P. Dolanski, CPA	34-53533	03/21/2006
SEC v. Savvides, et al.	LR-19622	03/21/2006
SEC v. David T. Leboe, et al.	LR-19623	03/27/2006
In the Matter of Netopia, Inc.	34-53566	03/29/2006
SEC v. Fernando J. Espuelas, et al.	LR-19627	03/29/2006
SEC v. Thomas A. Skoulis, et al.	LR-19630	03/29/2006
In the Matter of Clete D. Madden, CPA, et al.	34-53574	03/30/2006
In the Matter of Aron R. Carr, CPA	34-53573	03/30/2006
In the Matter of Michael D. Karsch	34-53636	04/12/2006
In the Matter of PKF, et al.	33-8675	04/12/2006
SEC v. PKF, et al.	LR-19652	04/12/2006
SEC v. Thom A. Faria	LR-19656	04/13/2006
In the Matter of Dale G. Rasmussen, Esq.	34-53662	04/17/2006
In the Matter of David T. Leboe, CPA	34-53661	04/17/2006
SEC v. Tyco International Ltd.	LR-19657	04/17/2006
In the Matter of Allen Buntin	AAER-2418	04/25/2006
In the Matter of Greg Jones	34-53718	04/25/2006
In the Matter of James Jarrett	34-53716	04/25/2006
SEC v. Ranko Cucuz, et al.	LR-19668	04/25/2006
In the Matter of Chaim Schwartzbard, CPA	34-53725	04/26/2006
In the Matter of Oil States International, Inc.	34-53732	04/27/2006
SEC v. Ingles Markets Incorporated	LR-19673	04/27/2006
SEC v. Lumenis Ltd., et al.	LR-19675	04/27/2006
SEC v. Michael E. Poppel, et al.	LR-19685	05/02/2006
In the Matter of James R. Ahrns, Jr., CPA	34-53766	05/08/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Barry F. Duggan, CGA (Canada)	34-53803	05/15/2006
In the Matter of William D. Baker, CPA	34-53830	05/18/2006
SEC v. Federal National Mortgage Association	LR-19710	05/23/2006
In the Matter of Tribune Company	34-53882	05/30/2006
In the Matter of David A. Rodriguez, CPA	34-53944	06/01/2006
In the Matter of William T. Owens, CPA	34-53929	06/01/2006
In the Matter of James T. McCurdy	34-53936	06/02/2006
SEC v. BAWAG P.S.K. Bank	LR-19716	06/05/2006
In the Matter of Nevanna Sacks, CPA	34-53953	06/07/2006
SEC v. Brady M. Schofield	LR-19721	06/07/2006
SEC v. Greg A. Gadel, et al.	LR-19720	06/07/2006
SEC v. Joseph P. Micatrotto, Sr.	LR-19719	06/07/2006
In the Matter of Wallace G. Haislip	34-54030	06/22/2006
In the Matter of Julian W. Eidson	34-54031	06/22/2006
SEC v. Scientific-Atlanta, Inc.	LR-19735	06/22/2006
In the Matter of Accounting Consultants, Inc., et al.	34-54048	06/27/2006
In the Matter of Douglas R. Bauer	34-54049	06/27/2006
SEC v. PowerLinx, Inc.	LR-19740	06/27/2006
In the Matter of Raytheon Company, et al.	33-8715	06/28/2006
In the Matter of Vedco, Inc., et al.	33-8716	06/28/2006
In the Matter of Walco International, Inc., et al.	33-8717	06/28/2006
SEC v. Raytheon Company, et al.	LR-19747	06/28/2006
SEC v. Virbac Corporation, et al.	LR-19746	06/28/2006
In the Matter of Information Architects Corporation	33-8718	06/30/2006
In the Matter of Greentech USA, Inc.	33-8719	06/30/2006
SEC v. Marvin Winick, et al.	LR-19751	06/30/2006
In the Matter of Craig M. Waggy	34-54099	07/05/2006
SEC v. John Samson, et al.	LR-19754	07/05/2006
In the Matter of Donald Frank Mintmire	34-54115	07/10/2006
In the Matter of Marvin Winick	34-54128	07/11/2006
In the Matter of L. Michael Hart	34-54172	07/19/2006
SEC v. Endocare, Inc., et al.	LR-19772	07/19/2006
SEC v. Gregory L. Reyes, et al.	LR-19768	07/20/2006
In the Matter of Weston L. Smith, CPA	34-54197	07/24/2006
SEC v. Blast Energy Services, Inc., et al.	LR-19786	07/24/2006
In the Matter of James S. Adams, CPA	34-54208	07/25/2006
In the Matter of Rollin M. Dick	34-54207	07/25/2006
SEC v. Mark P. Abide	LR-19776	07/27/2006
In the Matter of Eric A. McAfee	34-54234	07/28/2006
SEC v. James R. Powell, et al.	LR-19781	07/31/2006
SEC v. Jacob ("Kobi") Alexander, et al.	LR-19796	08/09/2006
SEC v. Paul W. Mikus, et al.	LR-19647	08/09/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Joseph A. Rougraff, CPA	34-54303	08/11/2006
SEC v. David M. Pillor	LR-19803	08/15/2006
SEC v. Dawn M. Schlegel, et al.	LR-19806	08/17/2006
In the Matter of Mark J. Corjay, CPA	34-54345	08/22/2006
In the Matter of Dennis R. Staal	34-54355	08/23/2006
SEC v. Steven J. Ott, et al.	LR-19821	09/06/2006
SEC v. Billy David Deaton	LR-19834	09/14/2006
SEC v. Diane Kayser	LR-19835	09/14/2006
SEC v. Jim Bob Brown	LR-19832	09/14/2006
SEC v. Doral Financial Corporation	LR-19837	09/19/2006
SEC v. Walid H. Maghribi	LR-19840	09/20/2006
In the Matter of Lantronix, Inc.	33-8745	09/27/2006
SEC v. James N. Stanard, et al.	LR-19847	09/27/2006
In the Matter of Diane Kayser (CPA)	34-54534	09/28/2006
In the Matter of William Scott Deloach	34-54532	09/28/2006
SEC v. Steven V. Cotton	LR-19850	09/28/2006
SEC v. William S. Deloach, et al.	LR-19853	09/29/2006
<b>Market Manipulation</b>		
SEC v. Scott R. Sacane, et al.	LR-19424	10/12/2005
SEC v. PacketPort.com, Inc., et al.	LR-19465	11/16/2005
SEC v. Integrated Services Group Inc., et al.	LR-19476	11/29/2005
SEC v. Peter S. Jessop, et al.	LR-19481	12/01/2005
SEC v. Edward A. Heil, et al.	LR-19494	12/15/2005
SEC v. Anthony F. Giordano	LR-19525	01/09/2006
In the Matter of Paul D. Lemmon, et al.	34-53159	01/20/2006
SEC v. John R. Shrewder, et al.	LR-19555	02/06/2006
SEC v. IBIZ Technology Corp., et al.	LR-19571	02/17/2006
In the Matter James E. Franklin	34-53423	03/06/2006
SEC v. Andreas Badian, et al.	LR-19639	04/04/2006
SEC v. Faisal Zafar, et al.	LR-19462	04/06/2006
SEC v. Carl Rausch	LR-19651	04/11/2006
SEC v. Ramy El-Batrawi, et al.	LR-19655	04/13/2006
SEC v. Timothy M. Roberts	LR-19701	05/16/2006
In the Matter of George J. Cannan, Jr.	33-8712	06/15/2006
In the Matter of Irving J. Stitsky	34-54093	07/03/2006
In the Matter of Jordan I. Shamah	34-54092	07/03/2006
SEC v. HydroFlo, Inc., et al.	LR-19755	07/05/2006
SEC v. Steven Misner	LR-19765	07/19/2006
SEC v. Eric A. McAfee	LR-19786	07/24/2006
SEC v. Roderic Lee Boling III, et al.	LR-19779	07/27/2006
SEC v. Nicholas A. Czuczko	LR-19787	08/01/2006
SEC v. David Sarna, et al.	LR-19798	08/10/2006

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Jeffrey Steven Stone, et al.	LR-19805	08/17/2006
SEC v. Indigenous Global Development Corporation, et al.	LR-19829	09/13/2006
SEC v. Joseph Y. Zumwalt	LR-19842	09/18/2006
<b>Miscellaneous</b>		
In the Matter of Neil D. Silver, et al.	34-52793	11/18/2005
In the Matter of Peter Goodfellow, et al.	34-52865	12/01/2005
SEC v. Compania Internacional Financiera S.A., et al.	LR-19501	12/19/2005
In the Matter Paul E. Johnson	34-54304	08/11/2006
SEC v. Graycort Financial, LLC	LR-19851	09/28/2006
<b>Municipal Offering</b>		
In the Matter of Kenneth R. Martin	34-54402	09/05/2005
In the Matter of CIBC World Markets Corporation	34-52942	12/12/2005
In the Matter of Paul D. Rogers	34-52941	12/12/2005
In the Matter of Peter J. Crowley	34-52943	12/12/2005
In the Matter of Robert J. Dentice	34-52944	12/12/2005
In the Matter of Michael S. deVegter	33-8645	12/22/2005
In the Matter of Anthony C. Snell, et al.	34-54112	07/07/2006
In the Matter of Richard P. Poirier	34-54492	09/25/2006
<b>Securities Offering</b>		
SEC v. Gregory Applegate	LR-19425	10/07/2005
In the Matter of Russ R. Luciano	34-52616	10/17/2005
SEC v. James Lamar McMichael, et al.	LR-19434	10/17/2005
SEC v. Scott Gershon, et al.	LR-19439	10/19/2005
SEC v. Donald Matthew Greth, et al.	LR-19441	10/21/2005
SEC v. High Park Investment Group Inc., et al.	LR-19462	11/09/2005
SEC v. WMDS, Inc., et al	LR-19464	11/15/2005
SEC v. Allixon International Corp, et al.	LR-19471	11/17/2005
In the Matter of Steven Mastrosimone	34-52829	11/23/2005
In the Matter of Neil Formisano	34-52828	11/23/2005
SEC v. Travis E. Correll, et al.	LR-19492	12/07/2005
SEC v. Jeffrey B. Schmidt, et al.	LR-19493	12/14/2005
In the Matter of SEC v. HMC International, LLC, et al.	LR-19508	12/21/2005
SEC v. Lance Poulsen, et al.	LR-19509	12/21/2005
SEC v. Roanoke Technology Corp., et al.	LR-19511	12/21/2005
SEC v. Allied Capital Management, Inc., et al	LR-19513	12/22/2005
In the Matter of Douglas Raspberry, et al.	34-53158	01/20/2006
SEC v. Fortress Financial Group, Inc.	LR-19536	01/20/2006
In the Matter of Jeffrey G. Nunez	34-53177	01/25/2006
In the Matter of Michael V. Lipkin, et al.	34-53225	02/03/2006
SEC v. Edward S. Digges, Jr., et al.	LR-19554	02/03/2006
SEC v. MSTG Solutions, Inc., et al.	LR-19561	02/09/2006
SEC v. Kirkland	LR-19570	02/16/2006



<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Lambert Vander Tuig, et al.	LR-19569	02/17/2006
SEC v. Charis Johnson, et al.	LR-19592	02/21/2006
SEC v. Sharon E. Vaughn, et al.	LR-19589	03/03/2006
SEC v. Reinhard, et al.	LR-19591	03/06/2006
SEC v. Cobalt Multifamily Investors I, LLC., et al.	LR-19626	03/29/2006
SEC v. Unlimited Cash, Inc., et al.	LR-19640	04/04/2006
SEC v. John P. Utsick, et al.	LR-19659	04/17/2006
In the Matter of Bradley T. Smith	34-53682	04/19/2006
SEC v. James N. Pratt, et al.	LR-19689	05/03/2006
SEC v. Geoffrey A. Gish, et al.	LR-19705	05/17/2006
In the Matter of Steven K. Gilley	34-53877	05/26/2006
SEC v. Universo Foneclub Corporation, et al.	LR-19715	05/30/2006
SEC v. Jay Rice	LR-19714	05/31/2006
SEC v. Jay Slesinger, et al.	LR-19714	05/31/2006
SEC v. Sunray Oil Company, Inc.	LR-19737	06/21/2006
SEC v. Jeffrey A. Weston, et al.	LR-19750	06/26/2006
SEC v. Airtrac, Inc., et al.	LR-19741A	06/27/2006
SEC v. Efoora, Inc. Partners Holdings, LLC, et al.	LR-19752	06/29/2006
SEC v. Deep Rock Oil Company, et al.	LR-19757	07/07/2006
SEC v. Pittsford Capital Income Partners, LLC, et al.	LR-19761	07/14/2006
SEC v. Renaissance Asset Fund, Inc., et al.	LR-19764	07/17/2006
In the Matter of Darin W. Roberts	34-54209	07/25/2006
In the Matter of Leslie Mersky	34-54254	07/31/2006
SEC v. Archie Paul Reynolds	LR-19793	08/02/2006
SEC v. American-Amicable Life Insurance Company of Texas	LR-19791	08/03/2006
SEC v. Jon W. James, et al.	LR-19801	08/10/2006
SEC v. One Wall Street, Inc., et al.	LR-19809	08/21/2006
In the Matter of Connie S. Farris	34-54377	08/28/2006
SEC v. PetroSite Assets, Inc. et al.	LR-19820	09/05/2006
In the Matter of Jonathan Curtis Papa	34-54441	09/14/2006
SEC v. Seaforth Meridian, Ltd., et al.	LR-19838	09/14/2006
In the Matter of Dennis B. Watts	34-54483	09/22/2006
In the Matter of James Nathan Grimes	34-54484	09/22/2006
SEC v. US Global Nanospace, Inc., et al.	LR-19846	09/26/2006
In the Matter of Vestin Capital, Inc., et al.	33-8744	09/27/2006
SEC v. The Children's Internet, Inc., et al.	LR-19849	09/27/2006
SEC v. U.S. Gas & Electric, Inc., et al.	LR-19852	09/27/2006
SEC v. William M. Osterhout, et al.	LR-19848	09/27/2006
<b>Self Regulatory Organization</b>		
In the Matter of Philadelphia Stock Exchange, Inc.	34-53919	06/01/2006
<b>Transfer Agent</b>		
SEC v. Karnig H. Durgarian, Jr., et al.	LR-19517	12/30/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Michele Knowlton	33-8652	01/05/2006
In the Matter of Michael Yellin	IA-2501	03/23/2006
In the Matter of Computershare Trust Company of Canada	34-53668	04/18/2006
In the Matter of The Bank of New York	34-53709	04/24/2006
SEC v. The Bank of New York	LR-19664	04/24/2006

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

Pending as of October 1, 2005 .....	4,097*
Opened in Fiscal Year 2006.....	914
Total.....	5,011
Closed in Fiscal Year 2006 .....	868
Pending as of September 30, 2006.....	4,143
Formal Orders of Investigation	
Issued in Fiscal Year 2006 .....	255

\*This number includes five investigations that were closed in fiscal 2005 and reopened in fiscal 2006.

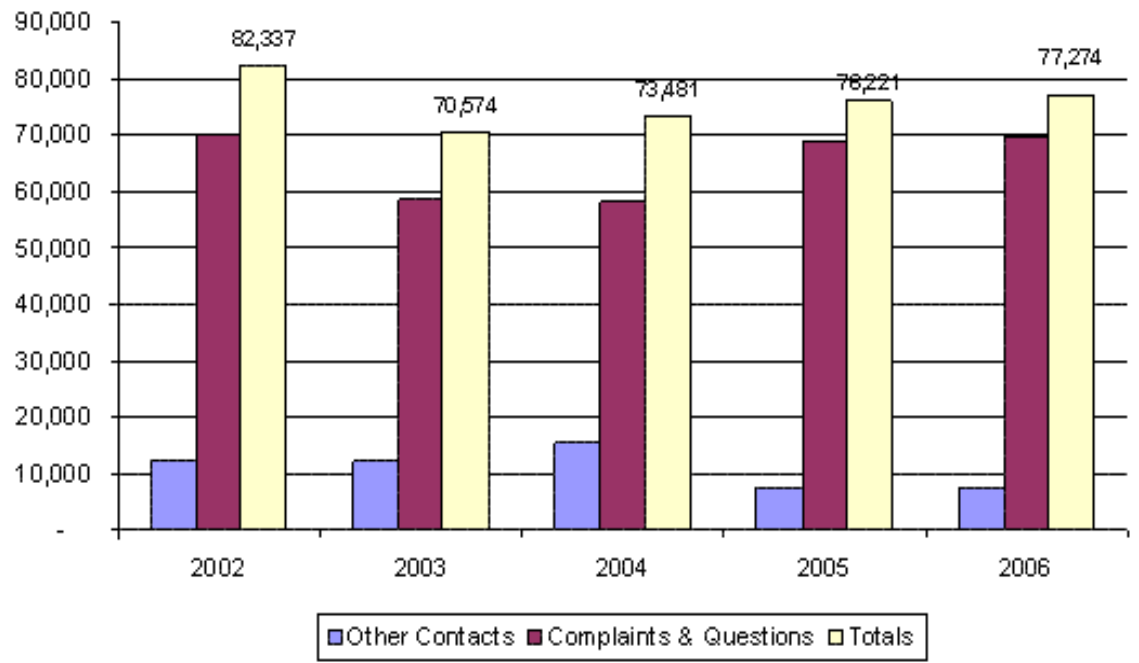
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### **Right to Financial Privacy**

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 6 subpoenas under Section 21(h); each subpoena was issued pursuant to Sections 21(h)(2)(C)(i) and (C)(ii). 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)	23
Section 1105 (Administrative Subpoenas)	196
Section 1107 (Judicial Subpoenas)	27
Section 1109 (Delayed Customer Notice)	0

Table 5  
SEC Total Investor Contacts by Fiscal Year



**Table 6**  
**TEN MOST COMMON COMPLAINTS**

	Complaint Type	FY 2006 Totals	FY 2005 Totals	Change	Rank in 2005
1	Advance Fee Fraud*	2,099	2,219	Down 5.41%	1
2	Spam: Unwanted Emails or Faxes	1,950	1,146	Up 70.16%	2
3	Manipulation of Securities, Prices, or Markets	953	741	Up 28.61%	5
4	Transfer of Account	806	844	Down 4.5%	3
5	Account Records: Errors or Omissions	773	645	Up 19.84%	9
6	Account Closing: Problems with Redemption, Liquidation, or Closing	719	841	Down 14.51%	4
7	Delivery of Funds or Proceeds	666	629	Up 5.88%	10
8	Short Selling	631	378	Up 66.93%	n/a
9	Account access: Difficulty in accessing account	596	336	Up 77.38%	n/a
10	Document Delivery Problem: Securities certificates	596	340	Up 75.29%	n/a

As in years past, we received more complaints about broker-dealers than any other type of entity (including issuers, mutual fund companies, investment advisers, and transfer agents):

	Type of Entity	FY 2006 Totals	Percentage of Total
1	Broker-Dealer	6,219	30%
2	Issuers (Public Companies)s	3,769	18%
3	Transfer agents, Paying agents, or Registrars	837	4%
4	Mutual funds (and Other Investment Companies)	618	3%
5	Newsletters and Investment Publications	711	3%

**Table 7**  
**UNCONSOLIDATED FINANCIAL INFORMATION FOR BROKER-DEALERS**  
**2001 - 2005 1/**  
**(\$ in Millions)**

	2001	2002	2003	2004	2005
<b>Revenues</b>					
Securities Commissions	\$ 44,763.8	\$ 45,001.1	\$ 45,539.2	\$ 47,569.0	\$ 46,803.2
Gains (Losses) in Trading and Investment Accounts	38,950.3	24,240.9	38,808.1	\$ 30,669.9	30,681.0
Profits (Losses) from Underwriting and Selling Groups	16,941.1	14,698.2	17,163.1	19,099.0	19,877.7
Margin Interest	13,911.5	6,439.9	5,261.0	6,983.7	13,269.8
Revenues from Sale of Investment Company Shares	16,396.4	15,654.9	16,200.2	18,549.9	20,698.8
All Other Revenues	149,132.8	115,775.9	95,984.5	120,058.2	201,170.5
<b>Total Revenues</b>	<b>\$ 280,095.8</b>	<b>\$ 221,811.0</b>	<b>\$ 218,956.0</b>	<b>\$ 242,929.6</b>	<b>\$ 332,501.1</b>
<b>Expenses</b>					
Registered Representatives' Compensation (Part II Only) 2/	\$ 29,950.8	\$ 27,388.6	\$ 28,578.2	\$ 29,973.4	31,712.5
Other Employee Compensation and Benefits	48,311.6	43,508.7	44,800.5	50,018.6	53,771.0
Compensation to Partners and Voting Stockholder Officers	5,247.4	3,973.9	4,058.2	3,488.2	3,329.9
Commissions and Clearance Paid to Other Brokers	14,043.4	15,003.9	16,293.2	17,374.6	18,645.3
Interest Expenses	98,947.2	56,401.6	44,445.9	59,726.0	140,239.9
Regulatory Fees and Expenses	1,550.9	1,383.0	1,515.0	1,670.2	1,787.7
All Other Expenses 2/	62,647.7	58,889.2	53,611.5	57,489.7	61,830.8
<b>Total Expenses</b>	<b>\$ 260,698.9</b>	<b>\$ 206,549.0</b>	<b>\$ 193,300.6</b>	<b>\$ 219,740.7</b>	<b>311,317.0</b>
<b>Income and Profitability</b>					
Pre-tax Income	\$ 19,396.9	\$ 15,262.0	\$ 25,655.4	\$ 23,188.9	\$ 21,184.1
Pre-tax Profit Margin	6.9%	6.9%	11.7%	9.5%	6.4%
Pre-tax Return on Equity	13.8%	10.7%	17.6%	15.0%	13.1%
<b>Assets, Liabilities and Capital</b>					
Total Assets	\$3,371,298.1	\$3,261,465.3	\$3,980,376.8	\$4,830,925.7	\$5,215,073.0
<b>Liabilities</b>					
(a) Unsubordinated Liabilities	3,158,257.2	3,050,039.2	3,754,978.7	4,584,567.8	4,952,054.3
(b) Subordinated Liabilities	68,693.6	69,434.0	75,929.5	86,665.6	98,912.6
<b>(c) Total Liabilities</b>	<b>\$3,226,950.8</b>	<b>\$3,119,473.0</b>	<b>\$3,830,908.2</b>	<b>\$4,671,233.4</b>	<b>\$5,050,966.9</b>
Ownership Equity	\$ 144,347.2	\$ 141,992.5	\$ 149,468.6	\$ 159,692.3	\$ 164,106.1
Number of Firms	7,002	6,768	6,565	6,284	6,016

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**  
**2001 - 2005 1/**  
**(\$ in Millions)**

	2001	2002	2003	2004	2005
<u>Revenues</u>					
Securities Commissions	\$ 43,798.5	\$ 44,212.2	\$ 44,868.3	\$ 46,811.5	\$ 46,246.4
Gains (Losses) in Trading and Investment Accounts	33,566.5	20,090.4	33,747.9	26,045.4	25,931.9
Profits (Losses) from Underwriting and Selling Groups	16,941.2	14,697.5	17,163.1	19,099.0	19,879.2
Margin Interest	13,749.1	6,383.1	5,252.9	6,924.4	13,246.0
Revenues from Sale of Investment Company Shares	16,396.4	15,654.9	16,200.1	18,549.9	20,698.9
All Other Revenues	144,758.2	111,994.6	95,559.2	117,602.0	195,297.6
Total Revenues	<u>\$269,210.0</u>	<u>\$213,032.7</u>	<u>\$212,791.5</u>	<u>\$235,032.3</u>	<u>\$321,300.0</u>
<u>Expenses</u>					
Registered Representatives' Compensation (Part II only) 2/	\$ 29,948.6	\$ 27,380.5	\$ 28,567.6	\$ 29,959.0	\$31,711.6
Other Employee Compensation and Benefits	46,967.1	42,398.2	43,885.8	49,178.7	52,908.1
Compensation to Partners and Voting Stockholder Officers	4,976.9	3,759.8	3,855.3	3,319.3	3,165.1
Commissions and Clearance Paid to Other Brokers	13,422.4	14,414.5	15,803.2	16,909.9	18,258.9
Interest Expenses	96,120.5	55,180.0	43,315.8	57,913.6	136,122.4
Regulatory Fees and Expenses	1,343.7	1,208.5	1,280.5	1,464.3	1,557.0
All Other Expenses 2/	60,747.1	56,984.7	51,722.7	55,466.3	59,963.3
Total Expenses	<u>\$253,526.4</u>	<u>\$201,326.3</u>	<u>\$188,430.8</u>	<u>\$214,211.0</u>	<u>\$303,686.4</u>
<u>Income and Profitability</u>					
Pre-tax Income	\$ 15,683.6	\$ 11,706.4	\$ 24,360.7	\$ 20,821.3	\$17,613.6
Pre-tax Profit Margin	5.8%	5.5%	11.4%	8.9%	5.5%
Pre-tax Return on Equity	12.3%	9.2%	18.8%	14.9%	12.0%
Number of Firms	5,493	5,394	5,301	5,231	5,143

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, 2001 - 2005 1/**  
**(\$ in Millions)**

	2001	2002	2003	2004	2005
<u>Assets</u>					
Cash	\$ 50,722.9	\$ 47,710.9	\$ 50,219.2	\$ 64,996.5	\$ 59,502.8
Receivables from Other					
Broker-dealers	1,115,382.5	1,032,041.5	1,414,127.2	1,792,465.9	1,941,595.2
Receivables from Customers	177,944.3	132,739.7	163,107.2	214,374.0	202,277.2
Receivables from Non-customers	15,392.7	14,237.2	18,124.0	44,085.5	28,989.0
Long Positions in Securities and Commodities	775,941.9	789,608.2	1,004,562.4	1,071,660.1	1,184,107.5
Securities and Investments not Readily Marketable	10,486.6	9,729.6	11,516.8	13,489.6	14,696.7
Securities Purchased Under Agreements to Resell (Part II only) 2/	855,539.3	951,803.1	966,629.5	1,189,010.4	1,288,647.4
Exchange Membership	664.6	684.5	675.2	666.5	769.3
Other Assets 2/	212,798.3	135,646.5	154,872.6	213,735.9	249,177.4
<b>Total Assets</b>	<b>\$3,214,873.2</b>	<b>\$3,114,201.2</b>	<b>\$3,783,834.1</b>	<b>\$4,604,484.3</b>	<b>\$4,969,762.5</b>
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 75,897.2	\$ 51,369.7	\$ 74,199.5	\$ 90,173.4	\$ 97,655.4
Payables to Other Broker-dealers	562,210.8	466,809.3	742,116.9	1,033,641.6	1,018,199.3
Payables to Non-customers	56,710.4	60,817.5	66,146.9	63,782.6	67,301.4
Payables to Customers	391,358.5	349,781.6	407,244.9	510,339.9	508,372.3
Short Positions in Securities and Commodities	342,189.9	345,113.0	439,384.4	504,689.8	487,003.6
Securities Sold Under Repurchase Agreements (Part II only) 2/	1,282,754.8	1,405,679.3	1,564,762.4	1,801,674.5	2,124,355.6
Other Non-subordinated Liabilities 2/	306,860.4	242,125.0	280,547.5	370,991.2	421,882.5
Subordinated Liabilities	67,304.5	67,966.9	74,285.9	84,628.1	96,871.1
<b>Total Liabilities</b>	<b>\$3,085,286.3</b>	<b>\$2,989,662.2</b>	<b>\$3,648,688.4</b>	<b>\$4,459,921.2</b>	<b>\$4,821,641.1</b>
Equity Capital	\$ 129,586.9	\$ 124,539.0	\$ 135,145.7	\$ 144,563.1	\$ 148,121.4
Number of firms	5,493	5,394	5,301	5,231	5,143

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)**

	2004		2005		Percent Change 2004-2005
	Dollars	Percent of Total Revenues	Dollars	Percent of Total Revenues	
<u>Revenues</u>					
Securities Commissions	\$ 31,752.0	17.0%	\$ 32,136.5	11.9%	1.2%
Gains (Losses) in Trading and Investment Accounts	22,039.1	11.8	22,757.2	8.4	3.3
Profits (Losses) from Under- writing and Selling Groups	17,592.8	9.4	18,431.6	6.8	4.8
Margin Interest	6,924.4	3.7	13,246.0	4.9	91.3
Revenues from Sale of Invest- ment Company Shares	9,360.2	5.0	10,502.3	3.9	12.2
Miscellaneous Fees	15,952.5	8.5	17,889.9	6.6	12.1
Revenues from Research	211.2	0.1	137.4	0.1	-34.9
Commodities Revenues	1,545.4	0.8	1,791.5	0.7	15.9
All Other Revenues	81,606.7	43.6	153,702.0	56.8	88.3
<b>Total Revenues</b>	<b>\$186,984.4</b>	<b>100.0%</b>	<b>\$270,594.4</b>	<b>100.0%</b>	<b>44.7%</b>
<u>Expenses</u>					
Registered Representatives' Compensation	\$ 29,959.0	16.0%	\$ 31,711.6	11.7%	5.8%
Other Employee Compensation and Benefits	36,272.1	19.4	39,297.1	14.5	8.3
Compensation to Partners and Voting Stockholder Officers	1,063.6	0.6	996.3	0.4	-6.3
Commissions and Clearance Paid to Other Brokers	6,580.1	3.5	7,261.9	2.7	10.4
Communications	4,624.3	2.5	4,993.7	1.8	8.0
Occupancy and Equipment Costs	6,342.2	3.4	6,327.1	2.3	-0.2
Data Processing Costs	3,227.0	1.7	3,492.8	1.3	8.2
Interest Expenses	57,499.9	30.8	135,534.1	50.1	135.7
Regulatory Fees and Expenses	1,266.0	0.7	1,304.6	0.5	6.4
Losses in Error Accounts and Bad Debts	330.9	0.2	369.4	0.1	11.6
All Other Expenses	22,742.4	12.2	25,693.4	9.5	13.0
<b>Total Expenses</b>	<b>\$169,867.6</b>	<b>90.8%</b>	<b>\$256,982.0</b>	<b>95.0%</b>	<b>51.3%</b>
<u>Income and Profitability</u>					
Pre-tax Income	\$ 17,116.8	9.2%	\$ 13,612.4	5.0%	-20.5%
Pre-tax Profit Margin	9.2%		5.0%		
Pre-tax Return on Equity	15.1%		11.3%		
Number of Firms	576		570		

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)**

	2004		2005		Percent Change 2004-2005
	Dollars	Percent of Total Assets	Dollars	Percent of Total Assets	
<u>Assets</u>					
Cash	\$ 60,640.1	1.3%	\$ 55,318.4	1.1%	-8.8%
Receivables from Other Broker-dealers	1,773,899.5	39.4	1,928,910.3	39.7%	8.7
(a) Securities Failed to Deliver	87,703.7	1.9	26,380.1	0.5	-69.9
(b) Securities Borrowed	1,614,340.0	35.8	1,825,816.7	37.6	13.1
(c) Other	71,855.8	1.6	76,713.6	1.6	6.8
Receivables from Customers	214,374.0	4.8	202,277.2	4.2	-5.6
Receivables from Non-customers	43,141.2	1.0	27,820.5	0.6	-35.5
Long Positions in Securities and Commodities	1,030,816.7	22.9	1,131,083.2	23.3	9.7
(a) Bankers Acceptances, Certificates of Deposit and Commercial Paper	45,959.8	1.0	59,787.9	1.2	30.1
(b) U.S. and Canadian Government Obligations	538,843.5	12.0	503,648.1	10.4	- 6.5
(c) State and Municipal Government Obligations	31,534.7	0.7	42,727.3	0.9	35.5
(d) Corporate Obligations	219,906.9	4.9	300,800.0	6.2	36.8
(e) Stocks and Warrants	125,122.3	2.8	150,201.3	3.1	20.0
(f) Options	14,903.6	0.3	22,414.1	0.5	50.4
(g) Arbitrage	35,159.7	0.8	27,666.7	0.6	-21.3
(h) Other Securities	19,385.8	0.4	24,040.4	0.5	24.0
(i) Spot Commodities	0.4	0.0	0.8	0.0	100.0
Securities and Investments Not Readily Marketable	12,831.2	0.3	13,898.0	0.3	8.3
Securities Purchased Under Agreements to Resell	1,189,010.4	26.4	1,288,647.4	26.5	8.4
Exchange Membership	624.3	0.0	677.5	0.0	8.5
Other Assets	178,797.2	4.0	210,582.0	4.3	17.8
<b>Total Assets</b>	<b>\$4,504,134.6</b>	<b>100.0%</b>	<b>\$4,859,214.6</b>	<b>100.0%</b>	<b>7.9%</b>
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 86,991.5	1.9%	\$ 85,420.1	1.8%	-1.8%
Payables to Other Broker-dealers	1,014,395.6	22.5	1,002,262.2	20.6	-1.2
(a) Securities Failed to Receive	104,912.0	2.3	31,738.2	0.7	-69.7
(b) Securities Loaned	850,694.6	18.9	917,112.6	18.9	7.8
(c) Other	58,789.0	1.3	53,411.4	1.1	-9.1
Payables to Non-customers	63,043.9	1.4	65,682.9	1.4	4.2
Payables to Customers	510,339.9	11.3	508,372.3	10.5	-0.4
Short Positions in Securities and Commodities	487,203.7	10.8	470,114.8	9.7	-3.5
Securities Sold Under Repurchase Agreements	1,801,674.5	40.0	2,124,355.6	43.7	17.9
Other Non-subordinated Liabilities	342,482.5	7.6	384,482.8	7.9	12.3
Subordinated Liabilities	81,711.8	1.8	93,973.2	1.9	15.0
<b>Total Liabilities</b>	<b>\$4,387,843.4</b>	<b>97.4%</b>	<b>\$4,734,663.8</b>	<b>97.4%</b>	<b>7.9%</b>
Equity Capital	\$ 116,291.2	2.6%	\$ 124,550.8	2.6%	7.1%
Number of Firms	576		570		

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.

**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 <sup>1/</sup>
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
2005	\$34,561,572	\$33,219,676	\$350,365	\$991,531	5,493,850
2006	\$43,938,653	\$41,795,852	\$531,302	\$1,611,498	7,793,480

Calendar Year 2006

AMEX	\$721,282	\$542,294	\$45,089	\$133,889	0
BSE	\$198,201	\$103,314	\$23,732	\$71,155	0
CBOE	\$531,195	\$18,197	\$130,451	\$382,547	0
CHX	\$448,735	\$448,735	\$0	\$0	0
CMX	\$0	\$0	\$0	\$0	4,643
ISE	\$524,614	\$24	\$131,796	\$392,794	0
NASD	\$15,436,174	\$15,436,174	\$0	\$0	0
NASDAQ	\$2,930,330	\$2,390,330	\$0	\$0	0
NSX	\$467,796	\$467,796	\$0	\$0	0
NYSE	\$16,310,889	\$16,310,889	\$0	\$0	0
OneChicago	\$24,508	\$0	\$0	\$24,508	7,788,837
PCX	\$6,511,816	\$6,047,277	\$112,464	\$352,075	0
PHLX	\$373,113	\$30,822	\$87,772	\$254,519	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.

<sup>1/</sup>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, 2005**

EXCHANGE	COMMON		PREFERRED		BONDS		TOTAL SECURITIES	
	Number	Market Value (in Millions)	Number	Market Value (in Millions)	Number	Value 2/ (in Millions)	Number	Value (in Millions)
Registered:								
American	744	176,024.6	47	1,926.9	16	0.0	807	177,951.5
Boston	23	676.7	0	0.0	0	0.0	23	676.7
Cincinnati	0	0.0	0	0.0	0	0.0	0	0.0
Chicago	3	515.0	0	0.0	0	0.0	3	515.0
New York	2,175	13,421,470.6	391	65,546.8	814	0.0	3,380	13,487,017.4
Pacific	9	3,492.0	1	18.8	0	0.0	10	3,510.8
Philadelphia	0	0.0	0	0.0	0	0.0	0	0.0
<b>Total</b>	<b>2,954</b>	<b>13,602,178.9</b>	<b>439</b>	<b>67,492.5</b>	<b>830</b>	<b>0.0</b>	<b>4,223</b>	<b>13,669,671.4</b>

Includes Foreign Stocks:

New York	462	1,094,787.3	18	6,030.4	157	0.0	637	1,100,817.7
American	21	51,390.7	0	0.0	0	0.0	21	51,390.7
Boston	2	95.6	0	0.0	0	0.0	2	95.6
Chicago	0	0.0	0	0.0	0	0.0	0	0.0
Pacific	0	0.0	0	0.0	0	0.0	0	0.0
Philadelphia	0	0.0	0	0.0	0	0.0	0	0.0
<b>Total</b>	<b>485</b>	<b>1,146,273.6</b>	<b>18</b>	<b>6,030.4</b>	<b>157</b>	<b>0.0</b>	<b>660</b>	<b>1,152,304.0</b>

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
1998	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	2.6	11,581.1
2004	12,870.0	191.0	2.1	13,063.1
2005	13,487.0	178.0	4.7	13,669.7

Source: SEC Form 1392