

# SELECT SEC AND MARKET DATA FISCAL 2005

## Table of Contents

---

Enforcement Milestones .....	2
Enforcement Actions Initiated by the Commission .....	3
Fiscal 2005 Enforcement Cases by Program Area .....	4
Investigations of Possible Violations of the Acts Administered by the Commission .....	21
Right to Financial Privacy.....	21
SEC Total Investor Contacts by Fiscal Year .....	22
Ten Most Common Complaints During Fiscal 2005.....	23
Unconsolidated Financial Information for Broker-Dealers .....	24
Unconsolidated Annual Revenues and Expenses for Broker-Dealers Doing a Public Business.....	25
Unconsolidated Balance Sheet for Broker-Dealers Doing a Public Business .....	26
Unconsolidated Revenues and Expenses for Carrying/Clearing Broker-Dealers .....	27
Unconsolidated Balance Sheet for Carrying/Clearing Broker-Dealers .....	28
Transaction Activity in Equities, Options and Security Futures .....	29
Securities Listed on Exchanges .....	30
Value of Stocks Listed on Exchanges .....	31

**Table 1**  
**ENFORCEMENT MILESTONES**  
**FISCAL 2005**

<ul style="list-style-type: none"> <li>• Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$1.6 billion and to pay penalties of approximately \$1.5 billion.</li> </ul>
<ul style="list-style-type: none"> <li>• Sought orders barring 150 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 31 actions, and sought asset freezes in 34 actions.</li> </ul>
<ul style="list-style-type: none"> <li>• Filed 6 actions to enforce investigative subpoenas.</li> </ul>
<ul style="list-style-type: none"> <li>• Halted trading in securities of 118 issuers about which there was inadequate public disclosure.</li> </ul>

In SEC-related criminal cases, prosecutors filed indictments, informations, or contempts in 108 cases.

**Table 2**  
**FISCAL 2005 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		21A Reports		Total		% of Total Actions
Issuer Reporting and Disclosure	94	(218)	90	(125)	1	(1)	185	(344)	29%
Broker Dealer	20	(58)	74	(117)	0	(0)	94	(175)	15%
Investment Advisers	25	(57)	70	(102)	0	(0)	95	(159)	15%
Securities Offering Cases	34	(166)	26	(37)	0	(0)	60	(203)	9%
Delinquent Filings	60	(126)	0	(0)	0	(0)	60	(126)	9%
Insider Trading Cases	42	(85)	8	(9)	0	(0)	50	(94)	8%
Market Manipulation Cases	30	(95)	16	(28)	0	(0)	46	(123)	7%
Civil Contempt	23	(38)	0	(0)	0	(0)	23	(38)	4%
Transfer Agents	2	(2)	3	(5)	0	(0)	5	(7)	1%
Municipal Offering	1	(2)	3	(5)	0	(0)	4	(7)	1%
Self-Regulatory Organization	1	(1)	3	(5)	0	(0)	4	(6)	1%
Investment Companies	2	(2)	0	(0)	0	(0)	2	(2)	0.5%
Miscellaneous Cases	1	(1)	1	(1)	0	(0)	2	(2)	0.5%
<b>TOTALS</b>	<b>335</b>	<b>(851)</b>	<b>294</b>	<b>(434)</b>	<b>1</b>	<b>(1)</b>	<b>630</b>	<b>(1286)</b>	<b>100%</b>

**Table 3**  
**FISCAL 2005 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 Stanley B. Wasser	34-50482	10/01/2004
SEC v. Bill L. Stapleton	LR-18960	10/01/2004
In the Matter of Calvin E. Moore, Jr.	34-50496	10/06/2004
In the Matter of John N. Salerno	34-50504	10/08/2004
In the Matter of Joseph J. Salerno, III, et al.	34-50503	10/08/2004
In the Matter of David A. Zimmerman	34-50517	10/12/2004
In the Matter of Michael A. Lomas, et al.	34-50551	10/15/2004
In the Matter of Thomas J. Donovan	34-50580	10/21/2004
In the Matter of Benny G. Morris	34-50592	10/26/2004
In the Matter of Carlos H. Soto	34-50646	11/08/2004
In the Matter of Bruce D. Oakes	34-50743	11/29/2004
In the Matter of Marc Freeman	33-8509	12/07/2004
In the Matter of Thomas H. Keesee	34-50803	12/07/2004
In the Matter of First Command Financial Planning, Inc.	33-8513	12/15/2004
In the Matter of Knight Securities LP	34-50867	12/16/2004
In the Matter of Lonnie Dragon	34-50875	12/17/2004
In the Matter of Edward D. Jones & Co., L.P.	33-8520	12/22/2004
In the Matter of Mark J. Chavez	34-50913	12/22/2004
In the Matter of Mark K. Menzel	33-8519	12/22/2004
In the Matter of Southwest Securities, Inc., et al.	34-51002	01/10/2005
SEC v. Scott B. Gann, et al.	LR-19027	01/10/2005
SEC v. J.M. Dutton & Associates, LLC	LR-19046	01/19/2005
SEC v. Goldman Sachs & Co.	LR-19051	01/25/2005
SEC v. Morgan Stanley & Co. Incorporated	LR-19050	01/25/2005
In the Matter of Marketxt, Inc., et al.	33-8533	02/09/2005
SEC v. Marion D. Sherrill	LR-19076	02/09/2005
In the Matter of J.P. Morgan Securities Inc.	34-52100	02/14/2005
In the Matter of Gerald F. Hunter, Jr.	34-51207	02/15/2005
SEC v. Tonino Labella, et al.	LR-19080	02/15/2005
In the Matter of Brean Murray & Co., Inc.	34-51219	02/17/2005
SEC v. David S. Davidson, et. al.	LR-19090	02/17/2005
In the Matter of Norman P. Rounds	34-51308	03/03/2005
In the Matter of C. Dennis McKittrick	34-51349	03/09/2005
In the Matter of William H. Rogers	34-51345	03/09/2005
SEC v. Frank J. Furino	LR-19126	03/09/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Robert A. Tommassello	34-51384	03/16/2005
SEC v. T. Gene Gilman, et al.	LR-19144	03/17/2005
In the Matter of Charles Zandford	34-51404	03/21/2005
In the Matter of Robert T. Kirk, Jr.	34-51408	03/22/2005
In the Matter of Capital Analysts, Incorporated	33-8556	03/23/2005
In the Matter of Citigroup Global Markets, Inc.	33-8557	03/23/2005
In the Matter of Lewis Henry Hodge, et al.	34-51422	03/23/2005
In the Matter of Charles Dwain Davis, Jr.	34-51505	04/07/2005
SEC v. Philip D. Phillips, et al.	LR-19178	04/07/2005
In the Matter of Allen S. Freed	34-51532	04/12/2005
In the Matter of David A. Finnerty, et al.	34-51525	04/12/2005
In the Matter of Marc N. Siegel	34-51531	04/12/2005
In the Matter of vFinance Investments, Inc.	34-51530	04/12/2005
In the Matter of Raffi Oghlian	34-51560	04/15/2005
In the Matter of Anthony Bisceglie	34-51571	04/19/2005
In the Matter of Andrew E. Gold	34-51585	04/20/2005
SEC v. Joseph W. Leighton	LR-19193	04/20/2005
In the Matter of Charles J. Addeo	34-51589	04/21/2005
In the Matter of Fiserv Securities, Inc., et al.	34-51588	04/21/2005
SEC v. Thomas J. Gerbasio, et al.	LR-19197	04/21/2005
In the Matter of Gary Todd	34-51679	05/10/2005
In the Matter of Christopher Quintana	34-51701	05/17/2005
In the Matter of Joseph W. Leighton	34-51699	05/17/2005
In the Matter of Suntrust Securities, Inc.	34-51700	05/17/2005
In the Matter of Vincent Langella	34-51702	05/18/2005
In the Matter of John B. Hoffmann, et al.	34-51713	05/19/2005
In the Matter of Charles J. O'Brien, Jr., et al.	33-8578	05/31/2005
In the Matter of Michael F. Hollendonor	34-51792	06/07/2005
In the Matter of Peter J. Burns	34-51793	06/07/2005
In the Matter of Carlos A. Shibata	34-51804	06/08/2005
In the Matter of Joseph Ferragamo	34-51819	06/10/2005
In the Matter of Banc Of America Investment Services, Inc., et al.	34-51852	06/15/2005
SEC v. Jackie Gross, et al.	LR-19275	06/20/2005
In the Matter of Raymond L. Braun, Jr.	34-51914	06/23/2005
In the Matter of Jeffrey Szur, et al.	34-51945	06/30/2005
SEC v. Scott A. Christian	LR-19294	07/07/2005
In the Matter of UBS Securities LLC (f/k/a UBS Warburg LLC)	34-52022	07/13/2005
In the Matter of Stacey J. Blake	33-8586	07/14/2005
In the Matter of Michael J. Cemo	34-52055	07/18/2005
In the Matter of Canadian Imperial Holdings Inc., et al.	33-8592	07/20/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Thomas J. Downey, et al.	34-52108	07/22/2005
In the Matter of Prudential Equity Group, LLC, f/k/a Prudential Securities Inc.	34-52116	07/25/2005
In the Matter of Frank Persico	34-52137	07/27/2005
In the Matter of Scott A. Christian	34-52163	07/29/2005
In the Matter of Jeffrey L. Pittsburg	34-52186	08/01/2005
In the Matter of Chauncey D. Steele	34-52190	08/02/2005
In the Matter of Russell W. Jones	34-52211	08/04/2005
SEC v. Kenneth D. Pasternak, et al.	LR-19329	08/08/2005
SEC v. John J. Amore, et al.	LR-19335	08/15/2005
In the Matter of Barry Alan Bingham	34-52318	08/23/2005
In the Matter of Laurene U. English	34-52320	08/23/2005
SEC v. Michael Kogan, et al.	LR-19366	09/08/2005
In the Matter of Eric J. Laucius	34-52456	09/16/2005
In the Matter of John C. Kawas, Jr.	34-52453	09/16/2005
In the Matter of Michael Kogan	34-52455	09/16/2005
In the Matter of Legg Mason Wood Walker, Incorporated	34-52478	09/21/2005
In the Matter of Victor Lessinger	34-52498	09/23/2005
SEC v. William Sears, et al.	LR-19395	09/26/2005
SEC v. Ehrenkrantz King Nussbaum., Inc., et al.	LR-19410	09/30/2005
<b>Contempt Civil</b>		
SEC v. Michael Lauer	LR-18991	10/22/2004
SEC v. Koji Goto, et al.	LR-18965	11/01/2004
SEC v. David Rubin	None	11/18/2004
SEC v. Joel Steinger	None	12/06/2004
SEC v. Michael Lauer	LR-19018	12/09/2004
SEC v. Michael Lauer	LR-19019	12/20/2004
SEC v. Ulysses "Thomas" Ware, et al.	None	12/21/2004
SEC v. Ronald Pellett, et al.	None	12/27/2004
SEC v. Charles G. Dyer, et al.	LR-19035	01/13/2005
SEC v. Randall T. Treadwell	LR-19059	01/27/2005
SEC v. Christiano Hashimoto	LR-19096	01/31/2005
SEC v. Michael D. Carnicle	None	01/31/2005
SEC v. Chan M. Desaignouard	LR-19102	02/24/2005
SEC v. Rodd Buckle	LR-19155	03/07/2005
SEC v. C. Kelly Olsen	None	03/25/2005
SEC v. Ellsworth Wayne McLaws	None	03/25/2005
SEC v. Joseph A. Ferona	None	04/27/2005
SEC v. Joel Steinger, et al.	None	05/25/2005
SEC v. Gerald L. Rogers	None	06/20/2005
SEC v. Luis M. Cornide, et al.	None	07/15/2005
SEC v. Robert A. De La Riva, et al.	None	07/22/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Michael A. Lomas	LR-19354	08/26/2005
SEC v. Randall T. Treadwell	LR-19384	09/19/2005
<b>Delinquent Filing: Issuer Reporting</b>		
In the Matter of Safescript Pharmacies Inc, f/k/a RTIN Holdings Inc.	34-50494	10/05/2004
In the Matter of Soulfood Concepts, Inc.	34-50512	10/12/2004
In the Matter of Neurotech Development Corp.	34-50612	10/29/2004
In the Matter of 21st Century Wireless Group, Inc.	34-50761	12/01/2004
In the Matter of Abacan Resources Corp., et al.	34-50771	12/01/2004
In the Matter of American Multiplexer Corp., et al.	34-50771	12/01/2004
In the Matter of Asset Equity Group, Inc., et al.	34-50771	12/01/2004
In the Matter of Bigmar, Inc.	34-50768	12/01/2004
In the Matter of Biogan International, Inc.	34-50766	12/01/2004
In the Matter of Bluestar Enterprises, Inc.	34-50767	12/01/2004
In the Matter of Centura Software Corp.	34-50765	12/01/2004
In the Matter of Directshoes.Com, Inc.	34-50764	12/01/2004
In the Matter of Healthwatch, Inc.	34-50763	12/01/2004
In the Matter of Learncom, Inc.	34-50769	12/01/2004
In the Matter of Marchfirst, Inc.	34-50762	12/01/2004
In the Matter of Winstar Communications, Inc.	34-50770	12/01/2004
In the Matter of Homeland Security Technology, Inc.	34-51088	01/28/2005
In the Matter of Morgan Cooper, Inc.	34-51089	01/28/2005
In the Matter of Greentech USA, Inc.	34-51193	02/11/2005
In the Matter of Information Architects Corporation	34-51193	02/11/2005
In the Matter of Investment Technology, Inc.	34-51194	02/11/2005
In the Matter of Tekron, Inc.	34-51193	02/11/2005
In the Matter of Digi Link Technologies, Inc.	34-51196	02/14/2005
In the Matter of Advanced Solutions And Technologies, Inc., et al.	34-51202	02/15/2005
In the Matter of Amitelo Communications, Inc., et al.	34-51202	02/15/2005
In the Matter of Drkoop.Com, Inc., et al.	34-51202	02/15/2005
In the Matter of Eagletech Communications, Inc.	34-51203	02/15/2005
In the Matter of Select Media Communications, Inc.	34-51204	02/15/2005
In the Matter of First Pacific Networks, Inc.	34-51353	03/10/2005
In the Matter of CMKM Diamonds, Inc.	34-51383	03/16/2005
In the Matter of Infotopia, Inc.	34-51387	03/17/2005
In the Matter of Tamarak, Inc.	34-51461	03/31/2005
In the Matter of Asia Pulp & Paper Company, Ltd.	34-51466	04/01/2005
In the Matter of Gateway International Holdings, Inc., et al.	34-51527	04/12/2005
In the Matter of Hosoi Garden Mortuary, Inc.	34-51548	04/15/2005
In the Matter of PAT Services, Inc.	34-51546	04/15/2005
In the Matter of Progressive Software Holding, Inc.	34-51547	04/15/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Norsul Oil & Mining, Ltd.	34-51569	04/19/2005
In the Matter of Affinity International Travel Systems, Inc., et al.	34-51618	04/27/2005
In the Matter of ePhone Telecom, Inc., et al.	34-51618	04/27/2005
In the Matter of Upgrade International Corp.	34-51772	06/02/2005
In the Matter of Active Link Communications, Inc.	34-51924	06/24/2005
In the Matter of Busybox.Com, Inc.	34-51918	06/24/2005
In the Matter of MPTV, Inc., et al.	34-51924	06/24/2005
In the Matter of St. George Metals, Inc.	34-51961	07/01/2005
In the Matter of American Machine, Inc., et al.	34-52020	07/13/2005
In the Matter of Spectrum Brands Corp.	34-52023	07/13/2005
In the Matter of Netcurrents Information Services, Inc.	34-52040	07/15/2005
In the Matter of UCAP, Inc.	34-52129	07/27/2005
In the Matter of Divedepot.Com, Inc., et al.	34-52214	08/05/2005
In the Matter of Nexpub, Inc.	34-52306	08/19/2005
In the Matter of Advanced Media, Inc., et al.	34-52384	09/07/2005
In the Matter of Enamelon, Inc., et al.	34-52384	09/07/2005
In the Matter of Transmedia Asia Pacific, Inc.	34-52384	09/07/2005
In the Matter of Bio One Corporation	33-8616	09/22/2005
In the Matter of International Biofuel and Biochemical Corporation	34-52525	09/29/2005
In the Matter of AirCharter Express, Inc.	34-52536	09/30/2005
In the Matter of Danbury Financial, Inc.	34-52536	09/30/2005
In the Matter of E Trade Systems, Inc.	34-52536	09/30/2005
In the Matter of Nextcard, Inc.	34-52535	09/30/2005
<b>Insider Trading</b>		
In the Matter of Joseph T. Falcone	34-50516	10/12/2004
In the Matter of Larry F. Smath	34-50515	10/12/2004
SEC v. Kevin J. Hobbs, et al.	LR-18977	11/16/2004
SEC v. Russell T. Bradlee, et al.	LR-18974	11/17/2004
SEC v. Peter J. Wilson	LR-18979	11/18/2004
SEC v. Michael J. Ricks, et al.	LR-18983	11/22/2004
SEC v. Evan S. Collins	LR-18986	11/30/2004
SEC v. Min T. Ma, et al.	LR-18998	12/14/2004
In the Matter of Dimitrios Kostopoulos	34-50933	12/27/2004
SEC v. Patricia B. Rocklage, et al.	LR-19032	01/12/2005
SEC v. Mark A. Bailin	AAER-2167	01/13/2005
SEC v. Charles E. Jannetti, et al.	LR-19037	01/13/2005
SEC v. Patrick S. Anderson, et al.	LR-19038	01/19/2005
SEC v. Jun Singo Liang	LR-19049	01/25/2005
SEC v. Frank R.V. Loomans, et al.	LR-19075	02/10/2005



<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Patsy J. Aldredge, et al.	LR-19073	02/10/2005
SEC v. Richard Curtiss	LR-19082	02/16/2005
SEC v. John D. Hutchinson	LR-19106	02/28/2005
SEC v. Robert Goehring	LR-19105	03/02/2005
SEC v. Armund Ek	LR-19104	03/03/2005
SEC v. Zvi Fuks, et al.	LR-19128	03/09/2005
SEC v. Anthony C. Sudol III, et al.	LR-19162	03/31/2005
SEC v. Alina Welt, et al.	LR-19190	04/19/2005
SEC v. Nabil Hanna	LR-19194	04/20/2005
SEC v. Guillaume Pollet	LR-19199	04/21/2005
SEC v. John E. Martin	LR-19205	04/26/2005
SEC v. Ernesto Sibal, et al.	LR-19210	04/28/2005
In the Matter of Andrew M. Welt	IA-2382	05/11/2005
SEC v. Steven E. Nothorn	LR-19223	05/12/2005
SEC v. Hilary L. Shane	LR-19227	05/18/2005
In the Matter of James J. McDermott, Jr.	34-51794	06/07/2005
SEC v. Gary D. Force	LR-19252	06/08/2005
SEC v. Zomax, Inc.	LR-19262	06/09/2005
In the Matter of Hilary L. Shane	34-51839	06/14/2005
SEC v. Barry Hertz	LR-19268	06/14/2005
SEC v. Jeffrey L. Matthews, et al.	LR-19304	07/18/2005
SEC v. Philip Evans, et al.	LR-19312	07/26/2005
SEC v. Sonja Anticevic, et al.	LR-19374	08/05/2005
In the Matter of Benjamin Y. Chiu	34-52222	08/08/2005
In the Matter of Ernesto V. Sibal, et al.	34-52223	08/08/2005
SEC v. David J. Shlansky	LR-19332	08/10/2005
SEC v. Raymond L. Burke	LR-19355	09/01/2005
SEC v. David L. Johnson	LR-19363	09/07/2005
SEC v. Jameson L. Thottam	LR-19364	09/07/2005
SEC v. James J. Farley, et al.	LR-19379	09/15/2005
SEC v. Rodney R. Drinen, et al.	LR-19378	09/15/2005
SEC v. Stanford Cohen	LR-19383	09/19/2005
SEC v. Jerry C. Moyes	LR-19389	09/21/2005
SEC v. Brian G. Paquette, et al.	LR-19393	09/26/2005
SEC v. Michael K. C. Tom, et al.	LR-19404	09/30/2005
<b>Investment Adviser</b>		
In the Matter of RS Investment Management, Inc., et al.	IA-2310	10/06/2004
SEC v. Market-Timing Technologies, LLC, et al.	LR-18927	10/06/2004
In the Matter of Invesco Funds Group, et al.	34-50506	10/08/2004
In the Matter of Raymond R. Cunningham	34-50507	10/08/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of Barry J. Goodman	IA-2313	10/13/2004
SEC v. Von Christopher Cummings, et al.	LR-50544	10/14/2004
In the Matter of Larry Wayne Cherry	34-50568	10/20/2004
SEC v. Michael G. Beckford	LR-18940	10/22/2004
In the Matter of Fanam Capital Management, et al.	IA-2316	10/29/2004
In the Matter of Fremont Investment Advisors, Inc.	IA-2317	11/04/2004
In the Matter of John D. Barry, et al.	IA-2320	11/04/2004
In the Matter of Larry Adams	IA-2319	11/04/2004
In the Matter of Nancy C. Tengler	IA-2318	11/04/2004
In the Matter of Neal R. Wadhwa	34-50644	11/05/2004
In the Matter of William H. Black	34-50650	11/09/2004
SEC v. Bradford C. Bleidt, et al.	LR-18972	11/12/2004
In the Matter of Gary L. Pilgrim	33-8505	11/17/2004
In the Matter of Harold J. Baxter	33-8506	11/17/2004
In the Matter of Schield Management Co., et al.	34-50772	12/01/2004
In the Matter of Koji Goto	34-50825	12/09/2004
In the Matter of Franklin Advisers, Inc., et al.	34-50841	12/13/2004
In the Matter of Lawrence S. Powell, et al.	34-51017	01/11/2005
SEC v. Susana P. Longo	LR-19041	01/20/2005
In the Matter of Scott F. McCreadie	34-51131	02/03/2005
In the Matter of Michael G. Beckford	IA-2347	02/04/2005
In the Matter of Keith Mohn	34-51141	02/07/2005
In the Matter of Banc of America Capital Management, LLC, et al.	33-8538	02/09/2005
In the Matter of Columbia Management Advisors, Inc., et al.	33-8534	02/09/2005
In the Matter of Erik Gustafson	IA-2354	02/09/2005
In the Matter of Joseph Palombo	IA-2352	02/09/2005
In the Matter of Peter Martin	IA-2353	02/09/2005
SEC v. James Tambone, et al.	LR-19069	02/09/2005
In the Matter of Scott B. Kaye	IA-2359	02/10/2005
SEC v. Northshore Asset Management, et al.	LR-19084	02/16/2005
In the Matter of Roger A. Householder	34-51241	02/23/2005
In the Matter of Colley Asset Management, Inc. et al.	IA-2363	02/25/2005
In the Matter of K.L. Group, LLC, et al.	LR-19399	03/02/2005
SEC v. Peter N. Brant	LR-19113	03/03/2005
SEC v. Richard W. Deboe	LR-19113	03/03/2005
In the Matter of Bryan James Hawes	34-51377	03/15/2005
SEC v. Violet Gail Eldridge	LR-19146	03/17/2005
In the Matter of Peter N. Brant	IA-2371	03/23/2005
In the Matter of Putnam Investment Management, LLC	IA-2370	03/23/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. David M. Faubert, et al.	LR-19166	03/23/2005
In the Matter of Victor G. Nance	IA-2372	03/25/2005
SEC v. Pension Fund of America L.C., et al.	LR-19161	03/28/2005
In the Matter of Michael T. Jackson, et al.	IA-2374	04/06/2005
In the Matter of William T. Belko	33-8564	04/06/2005
SEC v. Jeff Thomas Allen, et al.	LR-19170	04/06/2005
SEC v. Amit Mathur, et al.	LR-19181	04/12/2005
SEC v. K.W. Brown & Company, et al.	LR-19209	04/27/2005
In the Matter of Gerald T. Malone	IA-2378	04/28/2005
In the Matter of John D. Carifa	IA-2379	04/28/2005
In the Matter of Michael J. Laughlin	34-51624	04/28/2005
SEC v. Vincent Montagna, et al.	LR-19211	05/02/2005
In the Matter of DB Investment Managers, Inc.	34-51707	05/19/2005
In the Matter of Galleon Management, L.P.	34-51708	05/19/2005
In the Matter of Oaktree Capital Management, LLC	34-51709	05/19/2005
SEC v. Galleon Management, L.P.	LR-19228	05/19/2005
In the Matter of Smith Barney Fund Management LLC, et al.	34-51761	05/31/2005
SEC v. Amerindo Investment Advisors Inc., et al.	LR-19245	06/01/2005
SEC v. HKW Trading, LLC., et al.	LR-19265	06/09/2005
In the Matter of Jeff Thomas Allen	IA-2394	06/13/2005
In the Matter of Burton G. Friedlander, et al.	IA-2397	06/16/2005
In the Matter of Lawrence A. Clasby,	34-51866	06/17/2005
In the Matter of Dennis R. Mathews, Jr.	34-51894	06/21/2005
SEC v. Jon E. Hankins, et al.	LR-19283	06/22/2005
SEC v. Terry's Tips	LR-19291	06/30/2005
In the Matter of Philip A. Lehman	34-51971	07/05/2005
In the Matter of Corcom Companies, Inc., et al.	33-8584	07/06/2005
In the Matter of Gerald Klein & Associates, Inc., et al.	33-8585	07/08/2005
In the Matter of Todd M. Eberhard	34-52003	07/08/2005
In the Matter of John Madey	34-52015	07/12/2005
In the Matter of Edgar M. Larsen	IA-2406	07/18/2005
In the Matter of Nathan A. Chapman, Jr.	34-52184	08/01/2005
In the Matter of J. Robert Dobbins	IA-2414	08/03/2005
SEC v. Thomas W. Jones, et al.	LR-19330	08/08/2005
In the Matter of Dean Earl Kirkland	IA-2416	08/12/2005
SEC v. Barry A. Bingham, et al.	LR-19345	08/23/2005
In the Matter of T. Gene Gilman	34-52354	08/29/2005
In the Matter of Won Sok Lee, et al.	34-52368	08/31/2005

<b><u>Name of Case</u></b>	<b><u>Release Number</u></b>	<b><u>Date Filed</u></b>
In the Matter of Susana P. Longo	IA-2423	09/01/2005
In the Matter of U.S. Bank National Association	IC-27052	09/02/2005
In the Matter of Marvin I. Friedman	IA-2428	09/14/2005
In the Matter of Oppenheimerfunds, Inc., et al.	34-52420	09/14/2005
In the Matter of CMS Fund Advisers, Inc.	IA-2430	09/15/2005
In the Matter of Joseph W. Lutes	IA-2429	09/15/2005
In the Matter of Anthony P. Postiglione, Jr.	IA-2432	09/21/2005
In the Matter of Springer Investment Management, Inc., et al.	IA-2434	09/21/2005
In the Matter of William J. Lennon	IA-2433	09/21/2005
In the Matter of State Street Research & Management Company	IA-2435	09/23/2005
In the Matter of Joseph W. Daniel	LR-19427	09/28/2005
SEC v. Samuel Israel, III, et al.	LR-19406	09/29/2005
In the Matter of Applied Financial Group, Inc., et al.	IA-2436	09/30/2005
In the Matter of International Equity Advisors, LLC et al.	33-8621	09/30/2005
<b>Investment Company</b>		
SEC v. Peter Krieger, et al.	LR-19187	04/12/2005
SEC v. Joseph A. Feron, Jr., et al.	LR-19167	05/31/2005
<b>Issuer Reporting and Disclosure</b>		
In the Matter of Robert C. Guccione	34-51073	01/24/2005
SEC v. Penthouse International, Inc., n/k/a PHSL Worldwide, Inc., et al.	LR-19048	01/24/2005
SEC v. Safescript Pharmacies Inc., f/k/a RTIN Holdings Inc. et al.	LR-18921	10/05/2004
SEC v. Stephen P. Gardner, et al.	LR-18919	10/05/2004
SEC v. Soulfood Concepts, Inc., et al.	LR-18928	10/12/2004
In the Matter of A. Michiel Meurs, et al.	AAER-2124	10/13/2004
In the Matter of Johannes Gerhardus Andrae	AAER-2124	10/13/2004
In the Matter of Koninklijke Ahold N.V. (Royal Ahold)	AAER-2124	10/13/2004
In the Matter of Ture Roland Fahlin	AAER-2124	10/13/2004
SEC v. John Mervyn Nabors, et al.	LR-18935	10/18/2004
In the Matter of KPMG LLP, et al.	34-50564	10/20/2004
SEC v. Qwest Communications International, Inc.	LR-18936	10/21/2004
In the Matter of Hawaiian Airlines, Inc.	34-50584	10/22/2004
In the Matter of John Joslyn, et al.	LR-18943	10/26/2004
In the Matter of Norman C. Payson	34-50589	10/26/2004
SEC v. Arnold Geller, et al.	LR-18943	10/26/2004
SEC v. John Joslyn, et al.	34-50588	10/26/2004
In the Matter of David Kaplan, CPA	34-50597	10/27/2004
In the Matter of David Rivard, CPA	34-50598	10/27/2004
SEC v. Neurotech Development Corp., et al.	LR-18952	10/29/2004
In the Matter of Morgan Stanley	34-50623	11/04/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Wachovia Corporation	LR-18958	11/04/2004
In the Matter of Steven Woghin, Esq.	34-50653	11/10/2004
In the Matter of Fischer Imaging Corporation	33-8503	11/15/2004
In the Matter of Wesley H. Colwell, CPA	34-50664	11/15/2004
SEC v. Conrad M. Black, et al.	LR-18969	11/15/2004
SEC v. John Allen Snoble	LR-18975	11/17/2004
SEC v. William M. Baker, et al.	LR-18980	11/18/2004
In the Matter of eFunds Corporation	34-50706	11/19/2004
In the Matter of Gary Moe, et al.	34-50705	11/19/2004
In the Matter of Jerry K. Lester	34-50707	11/19/2004
In the Matter of Robotic Vision Systems, Inc.	34-50704	11/19/2004
SEC v. Paul H. Bristow, et al.	LR-18981	11/19/2004
In the Matter of Charles A. Dairaghi, CPA	34-50744	11/29/2004
In the Matter of Kenneth L. Rubin, CPA, et al.	34-50745	11/29/2004
SEC v. American International Group, Inc.	LR-18985	11/30/2004
In the Matter of Thomas L. Taylor	34-50783	12/02/2004
SEC v. John Paul Orr, et al.	LR-18989	12/02/2004
In the Matter of Daniel E. Charboneau	34-50798	12/06/2004
SEC v. R. Geoffrey Layne, et al.	LR-18999	12/15/2004
In the Matter of Bio One Corp.	33-8515	12/16/2004
In the Matter of Martin Julien Marks	IA-2154	12/16/2004
In the Matter of Pennichuck Corporation	34-50869	12/16/2004
SEC v. Jack D.Weiss	LR-19002	12/16/2004
SEC v. Maurice L. Arel	LR-19001	12/16/2004
In the Matter of The Walt Disney Company	34-50882	12/20/2004
In the Matter of Frank D. Edwards, CA	34-50931	12/27/2004
In the Matter of Laurence D. Cohen (CPA)	34-50932	12/27/2004
In the Matter of Robert J. Cassandro	34-50938	12/28/2004
In the Matter of T.V. Azteca, S.A. de C.V., et al.	LR-19022	01/04/2005
In the Matter of BroadVision, Inc.	34-50987	01/06/2005
In the Matter of Monsanto Company	34-50978	01/06/2005
SEC v. Monsanto Company	LR-19023	01/06/2005
SEC v. Nancy R. Gazzigli	LR-19025	01/06/2005
In the Matter of Ronald J. Hottovy, CPA	34-50995	01/07/2005
SEC v. Charles Johnson, Jr., et al.	LR-19029	01/10/2005
SEC v. Bruce Robinson	AAER-2167	01/13/2005
SEC v. Gordon Redgate	AAER-2167	01/13/2005
SEC v. John Nettle	AAER-2167	01/13/2005
SEC v. Kenneth H. Bowman	AAER-2167	01/13/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Mark A. Bailin	AAER-2167	01/13/2005
SEC v. Michael J. Hannigan	AAER-2167	01/13/2005
SEC v. Michael Rogers	AAER-2167	01/13/2005
SEC v. Peter O. Marion	AAER-2167	01/13/2005
SEC v. Timothy Neal Daly	AAER-2167	01/13/2005
In the Matter of Martin Julien Marks, CPA	34-51057	01/19/2005
In the Matter of Daisytex International Corporation	33-8525	01/24/2005
In the Matter of Jonathan B. Orlick, Esq.	34-51081	01/26/2005
In the Matter of Michael C. Mullen, CPA	34-51084	01/27/2005
SEC v. Danny Forest Whitt, et al.	LR-19065	02/04/2005
In the Matter of Raymond M. Bowen, Jr.	AAER-2179	02/07/2005
SEC v. Elan Corporation, PLC	LR-19066	02/08/2005
SEC v. Timothy A. Despain	LR-19067	02/08/2005
In the Matter of Gary F. Pado, CPA	IA-2184	02/11/2005
In the Matter of FFP Marketing Company, Inc., et al.	34-51198	02/14/2005
In the Matter of GE InVision, Inc.	34-51199	02/14/2005
SEC v. Craig Scott	LR-19077	02/14/2005
SEC v. GE InVision, Inc.	LR-19078	02/14/2005
SEC v. Humatech, Inc., et al.	LR-19108	02/28/2005
In the Matter of The Titan Corporation	34-51283	03/01/2005
SEC v. The Titan Corporation	LR-19107	03/01/2005
SEC v. Jack Gaglio	LR-19111	03/02/2005
SEC v. Sandra Miller Christie	LR-191100	03/02/2005
In the Matter of Eddie Richard Meche	33-8551	03/03/2005
In the Matter of Thomas C. Trauger, CPA	34-51307	03/03/2005
SEC v. Craig N. Cohen	LR-19121	03/03/2005
SEC v. Eddie Richard Meche	LR-19119	03/03/2005
SEC v. Talx Corporation	LR-19120	03/03/2005
SEC v. William W. Canfield	LR-19122	03/03/2005
In the Matter of Talx Corporation	34-51320	03/04/2005
In the Matter of William W. Canfield	34-51321	03/04/2005
In the Matter of Bryan K. Treadway, CPA	34-51375	03/15/2005
In the Matter of Jennifer J. Tanner, f/k/a Jennifer J. Black	34-51374	03/15/2005
In the Matter of Mark A. Schumacher	34-51373	03/15/2005
SEC v. Bryan K. Treadway	LR-19135	03/15/2005
SEC v. Joseph P. Nacchio, et al.	LR-19136	03/15/2005
SEC v. Mark A. Schumacher	LR-19134	03/15/2005
SEC v. Roger B. Hoaglund	LR-19136	03/15/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. William L. Eveleth	LR-19136	03/15/2005
In the Matter of James W. Barge, et al.	34-51400	03/21/2005
SEC v. Time Warner, Inc.	LR-19147	03/21/2005
In the Matter of Flowserve Corporation, et al.	34-51427	03/24/2005
SEC v. Flowserve Corporation, et al.	LR-19154	03/24/2005
SEC v. Kenneth W. Hawk, et al.	LR-19156	03/24/2005
In the Matter of Mark M. Iwan	34-51442	03/29/2005
SEC v. Anuradha D. Saad, et al.	LR-19159	03/29/2005
In the Matter of Vertical Computer Systems, Inc.	34-51470	04/01/2005
In the Matter of John D. Clutten	34-51488	04/06/2005
SEC v. Drew S. Levin, et al.	LR-19172	04/06/2005
In the Matter of Easylink Services Corporation, et al.	34-51506	04/07/2005
In the Matter of Stephen C. Jones, CPA	34-51501	04/07/2005
SEC v. Dollar General Corporation, et al.	LR-19174	04/07/2005
In the Matter of Global Crossing Ltd., et al.	34-51517	04/11/2005
In the Matter of Gregory Davis, CPA, et al.	34-51516	04/11/2005
SEC v. Thomas J. Casey, et al.	LR-19179	04/11/2005
In the Matter of The Coca-Cola Company	34-51565	04/18/2005
In the Matter of KPMG LLP	34-51574	04/19/2005
SEC v. Exotics.Com, Inc., et al.	LR-19207	04/25/2005
In the Matter of Deloitte & Touche LLP	34-51606	04/26/2005
In the Matter of Deloitte & Touche, LLP, et al.	34-51607	04/26/2005
SEC v. Deloitte & Touche LLP	LR-19202	04/26/2005
In the Matter of Dawn Diaz, CPA	34-51629	04/28/2005
In the Matter of Tyson Foods, Inc., et al.	34-51625	04/28/2005
SEC v. Stuart H. Wolff, et al.	LR-19218	04/28/2005
SEC v. Tyson Foods, Inc., et al.	LR-19208	04/28/2005
SEC v. Chesapeake Corporation, et al.	LR-19215	05/03/2005
In the Matter of Mark Wiertzema	34-51678	05/10/2005
In the Matter of Kevin Rogers	34-51719	05/19/2005
SEC v. Dennis O'Connor	LR-19230	05/19/2005
In the Matter of Diagnostic Products Corporation	34-51724	05/20/2005
In the Matter of Huntington Bancshares, Inc., et al.	33-8579	06/02/2005
SEC v. Huntington Bancshares, Inc., et al.	LR-19243	06/02/2005
SEC v. John Houldsworth, et al.	LR-19248	06/06/2005
In the Matter of Louis E. Rivelli, et al.	LR-19255	06/07/2005
In the Matter of Robert M. Blau	33-8581	06/09/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Take Two Interactive Software, Inc., et al.	LR-19260	06/09/2005
In the Matter of Joe D. Thomas	34-51883	06/20/2005
In the Matter of James H. David, Jr. CPA	34-51895	06/21/2005
In the Matter of David S. Klarman, Esq.	IA-2267	06/27/2005
In the Matter of KPMG LLP, et al.	34-51946	06/30/2005
SEC v. David M. Hurley	LR-19290	06/30/2005
In the Matter of Duke Energy Corporation	34-51995	07/08/2005
In the Matter of Foamex International, Inc.	34-52006	07/11/2005
SEC v. Mark Cocchiola, et al.	LR-19300	07/11/2005
SEC v. Bernard J. Ebberts	LR-19301	07/13/2005
In the Matter of Comerica, Inc.	34-52041	07/15/2005
SEC v. Glenn E. Glasshagel	LR-19309	07/15/2005
SEC v. Gregory A. Brady, et al.	LR-19306	07/15/2005
In the Matter of Michael J. Cheshire	34-52126	07/26/2005
SEC v. Bernard J. Demko	LR-19310	07/26/2005
SEC v. Gary K. Bennett	LR-19310	07/26/2005
In the Matter of Microtune, Inc., et al.	33-8596	07/28/2005
In the Matter of Robert Korkuc, CPA	34-52185	08/01/2005
In the Matter of Jeffrey W. Davis	LR-19427	08/02/2005
In the Matter of John V. Back, Jr., CPA	34-52258	08/15/2005
In the Matter of Margaret M. Eardley	34-52257	08/15/2005
SEC v. John R. Behrmann, et al.	LR-19336	08/15/2005
SEC v. Frederick S. Schiff, et al.	LR-19343	08/22/2005
SEC v. Charles C. Conaway, et al.	LR-19344	08/23/2005
SEC v. Leonard M. Snyder, et al.	LR-19349	08/25/2005
SEC v. David P. Levine, et al.	LR-19353	08/29/2005
In the Matter of Barry S. Berlin	34-52358	08/30/2005
In the Matter of David P. Levine	34-52357	08/30/2005
In the Matter of Douglas J. Ely	34-52359	08/30/2005
In the Matter of Michael W. Spake	34-52356	08/30/2005
In the Matter of John R. Behrmann, CPA	34-52369	08/31/2005
In the Matter of Premier Financial Bancorp.	34-52370	08/31/2005
In the Matter of William D. Wiseman, CPA	34-52365	08/31/2005
SEC v. Yaw Osei Amoako	LR-19356	09/01/2005
In the Matter of Steven J. Allan	34-52395	09/08/2005
SEC v. William J. Covington	LR-19370	09/09/2005
In the Matter of NCO Group, Inc.	34-52409	09/13/2005
In the Matter of Vincent Steckler	34-52411	09/13/2005



<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Martin E. Kenney, Jr.	LR-19373	09/13/2005
In the Matter of Herbert A. Getz, Esq.	34-52452	09/15/2005
SEC v. Mark David Shapiro, et al.	LR-19380	09/15/2005
In the Matter of David J. Cammarata	34-52481	09/21/2005
SEC v. Armand Dauplaise, et al.	LR-19387	09/22/2005
SEC v. Keith G. Baxter, et al.	LR-19391	09/23/2005
SEC v. C. Paul Sandifur, Jr., et al.	LR-19394	09/26/2005
SEC v. LeeRoy Allen, Jr.	LR-19405	09/29/2005
SEC v. Michael J. Lawler	LR-19401	09/29/2005
In the Matter of Gregory M. Dearlove, CPA	34-52537	09/30/2005
In the Matter of Ronald Lee Hoyt, CPA	34-52539	09/30/2005
In the Matter of William E. Caswell, CPA	34-52538	09/30/2005
<b>Market Manipulation</b>		
In the Matter of Michael W. Smith	34-50566	10/20/2004
SEC v. Platforms Wireless International Corp., et al.	LR-18939	10/21/2004
SEC v. Treyton L. Thomas, et al.	LR-18957	11/01/2004
SEC v. OSF, Inc., et al.	LR-18964	11/09/2004
SEC v. Paul L. Simmons, et al.	LR-18968	11/15/2004
SEC v. David J. Leslie	LR-19000	12/15/2004
In the Matter of Ulysses "Thomas" Ware	34-50873	12/16/2004
SEC v. Martin Fox	LR-19014	12/23/2004
SEC v. Cary K. Kahn	LR-19139	12/30/2004
SEC v. Thom Calandra	LR-19028	01/10/2005
SEC v. Thomas E. Edgar	LR-19033	01/12/2005
In the Matter of John M. Dutton	33-8524	01/19/2005
SEC v. Queench, Inc., et al.	LR-19040	01/20/2005
SEC v. Courtney D. Smith	LR-19064	02/07/2005
In the Matter of James T. Patten	34-51161	02/08/2005
SEC v. Concorde America, Inc., et al.	LR-19085	02/14/2005
In the Matter of L. Van Stillman	34-51218	02/17/2005
SEC v. Custom Designed Compressor Systems, Inc., et al.	LR-19101	02/25/2005
SEC v. Ronald J. Bauer	LR-19153	03/02/2005
In the Matter of David Hutter, a/k/a David Green	34-51311	03/03/2005
In the Matter of Saverio (Sammy) Galasso, III	34-51314	03/03/2005
In the Matter of Charles Cini, et al.	34-51376	03/15/2005
In the Matter of Yolanda Velazquez	34-51396	03/18/2005
SEC v. Harvey L. Carmichael, et al.	LR-19148	03/18/2005
SEC v. Tamarak, Inc., et al.	LR-19164	03/31/2005
SEC v. SeaLife Corporation, et al.	LR-19171	04/05/2005

<b><u>Name of Case</u></b>	<b><u>Release Number</u></b>	<b><u>Date Filed</u></b>
In the Matter of Bio-Heal Laboratories, Inc.	LR-19203	04/25/2005
SEC v. David E. Whittemore, et al.	LR-19213	05/03/2005
SEC v. Michael O'Grady, et al.	LR-19213	05/03/2005
SEC v. Aimsi Technologies, Inc., et al.	LR-19238	05/16/2005
SEC v. George A. Todt, et al.	LR-19234	05/18/2005
SEC v. Mark W. Blodgett, et al.	LR-19236	05/24/2005
In the Matter of David Rich, et al.	34-51774	06/02/2005
In the Matter of Thomas Steinbach, et al.	34-51773	06/02/2005
SEC v. Richard G. Spradling	LR-19263	06/09/2005
In the Matter of Warren Soloski	34-51930	06/28/2005
SEC v. Joshua Yafa, et al.	LR-19305	07/18/2005
SEC v. U.S. Wind Farming, Inc., et al.	LR-19311	07/25/2005
In the Matter of Charlie Dilluvio	34-52153	07/28/2005
In the Matter of Michael J. Burns	34-52152	07/28/2005
SEC v. Christine Favara	LR-19318	07/28/2005
SEC v. Richard B. Selden	LR-19357	09/01/2005
SEC v. Megamania Interactive, Inc., et al.	LR-19369	09/07/2005
In the Matter of Apollo Publication Corporation	33-8610	09/12/2005
SEC v. Biopure Corp., et al.	LR-19376	09/14/2005
In the Matter of John B. Zankowski	34-52487	09/21/2005
<b>Miscellaneous</b>		
In the Matter of Utah Educational Savings Plan Trust	33-8601	08/04/2005
SEC v. Dale C. Hatch	LR-19324	08/04/2005
<b>Municipal Offering</b>		
In the Matter of James E. Iverson	34-51509	04/08/2005
In the Matter of Victor P. Dhooge	34-51508	04/08/2005
In the Matter of Mount Sinai Medical Center of Florida, Inc., et al.	33-8580	06/07/2005
SEC v. Bruce M. Perry, et al.	LR-19256	06/08/2005
<b>Securities Offering</b>		
SEC v. Learn Waterhouse, Inc., et al.	LR-18932	10/12/2004
In the Matter of Michael Rosoff	34-50556	10/18/2004
In the Matter of Adam Michael Oliver	34-50565	10/20/2004
SEC v. America's Hedge Fund, L.P., et al.	LR-18951	10/28/2004
SEC v. Barrington Schneer	LR-18955	10/29/2004
SEC v. Ohana International, Inc., et al.	LR-18961	11/03/2004
SEC v. Crescent Financial Group Inc., et al.	LR-18967	11/15/2004
SEC v. Emvest Mortgage Fund, LLC, et al.	LR-18978	11/16/2004
In the Matter of Frederick J. Gilliland	34-50720	11/23/2004
In the Matter of Ari Dinov, et al.	34-50782	12/02/2004

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
SEC v. Jack A. Brown, et al.	LR-19005	12/08/2004
SEC v. Paul V. Degenhart, et al.	LR-19008	12/14/2004
In the Matter of Scott Hamilton	34-50884	12/20/2004
SEC v. Brad A. Weaver, et al.	LR-19015	12/23/2004
In the Matter of Mark D. Montana	34-50963	01/05/2005
In the Matter of Richard M. Wooten, CPA	34-50966	01/05/2005
In the Matter of Thomas T. Prousalis, Jr.	34-50986	01/06/2005
In the Matter of Google, Inc., et al.	33-8523	01/13/2005
SEC v. Herman's World of Sports, Inc., et al.	LR-19052	01/26/2005
SEC v. Morgan Cooper, et al.	LR-19057	01/31/2005
In the Matter of William Whelan	34-51132	02/03/2005
In the Matter of Harold Miller	34-51151	02/08/2005
In the Matter of TEK Corporation	LR-19083	02/09/2005
SEC v. Hubert A. Jeffreys, et al.	LR-19098	02/24/2005
SEC v. Kevin James Quinn	LR-19103	02/25/2005
SEC v. Premium Income Corp., et al.	LR-19115	03/02/2005
SEC v. ATM Alliance Corp., et al.	LR-19145	03/17/2005
SEC v. Bodyscan Corporation, et al.	LR-19141	03/17/2005
In the Matter of Joseph Catapano, et al.	34-51409	03/22/2005
In the Matter of Richard H. Dorfman	33-8562	03/31/2005
In the Matter of Denis Timothy O'Brien	34-51473	04/04/2005
In the Matter of Jess L. Mercer	34-51475	04/05/2005
SEC v. Larry Michael Parrish, et al.	LR-19185	04/14/2005
SEC v. Tri Energy, Inc., et al.	LR-19214	05/02/2005
SEC v. David Tanner, d/b/a Capital Enhancement Club, et al.	LR-19219	05/04/2005
SEC v. Scott B. Hollenbeck, et al.	LR-19226	05/13/2005
SEC v. Gary L. Harden, Sr., et al.	LR-19231	05/19/2005
SEC v. Focus Financial Associates, Inc., et al.	LR-19258	06/08/2005
In the Matter of Ford Motor Credit Company	33-8582	06/14/2005
SEC v. Viktor Novosselov, et al.	LR-19266	06/14/2005
In the Matter of Simon A. Hershon	33-8583	06/20/2005
In the Matter of Daniel W. Heath	34-51922	06/24/2005
SEC v. Patrick A. Grotto, et al.	LR-19284	06/24/2005
SEC v. Robert R. Ross, et al.	LR-19288	06/28/2005
SEC v. Megafund Corporation, et al.	LR-19292	07/01/2005
In the Matter of ING Groep N.V., et al.	33-8594	07/26/2005
SEC v. Alanar, Inc., et al.	LR-19314	07/26/2005
SEC v. Jeffrey L. Gibson, et al.	LR-19331	08/05/2005
In the Matter of F. Thomas Eck, III	34-52247	08/12/2005

<u>Name of Case</u>	<u>Release Number</u>	<u>Date Filed</u>
In the Matter of F. Thomas Eck, III	34-52246	08/12/2005
SEC v. Rainmaker Managed Living, LLC, et al.	LR-19347	08/22/2005
In the Matter of Axxess Media Group, Ltd., et al.	33-8606	08/24/2005
SEC v. Par Three Financial, Inc., et al.	LR-19348	08/25/2005
In the Matter of Alanar, Inc., et al.	34-52353	08/29/2005
In the Matter of GLM Technologies, LLC, et al.	33-8609	09/12/2005
SEC v. NJ Affordable Homes Corp., et al.	LR-19372	09/12/2005
In the Matter of Christiano K. Hashimoto, Jr.	34-52457	09/16/2005
In the Matter of Scott L. Kelly	34-52461	09/16/2005
SEC v. Harvey P. Tabb	LR-19392	09/20/2005
SEC v. Gary L. Valinoti	LR-19407	09/29/2005
<b>Self-Regulatory Organization</b>		
In the Matter of The Nasdaq Stock Market, Inc., et al.	34-51163	02/09/2005
In the Matter of New York Stock Exchange , Inc.	34-51524	04/12/2005
In the Matter of National Stock Exchange, et al.	34-51714	05/19/2005
SEC v. David Colker	LR-19229	05/19/2005
<b>Transfer Agent</b>		
In the Matter of Michael John Hanchar	34-50675	11/16/2004
SEC v. CIBC Mellon Trust Co.	LR-19081	02/16/2005
In the Matter of CIBC Mellon Trust Co.	34-51297	03/02/2005
SEC v. Shannon Baldino	LR-19143	03/17/2005
In the Matter of Phlo Corporation, et al.	34-51592	04/21/2005

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

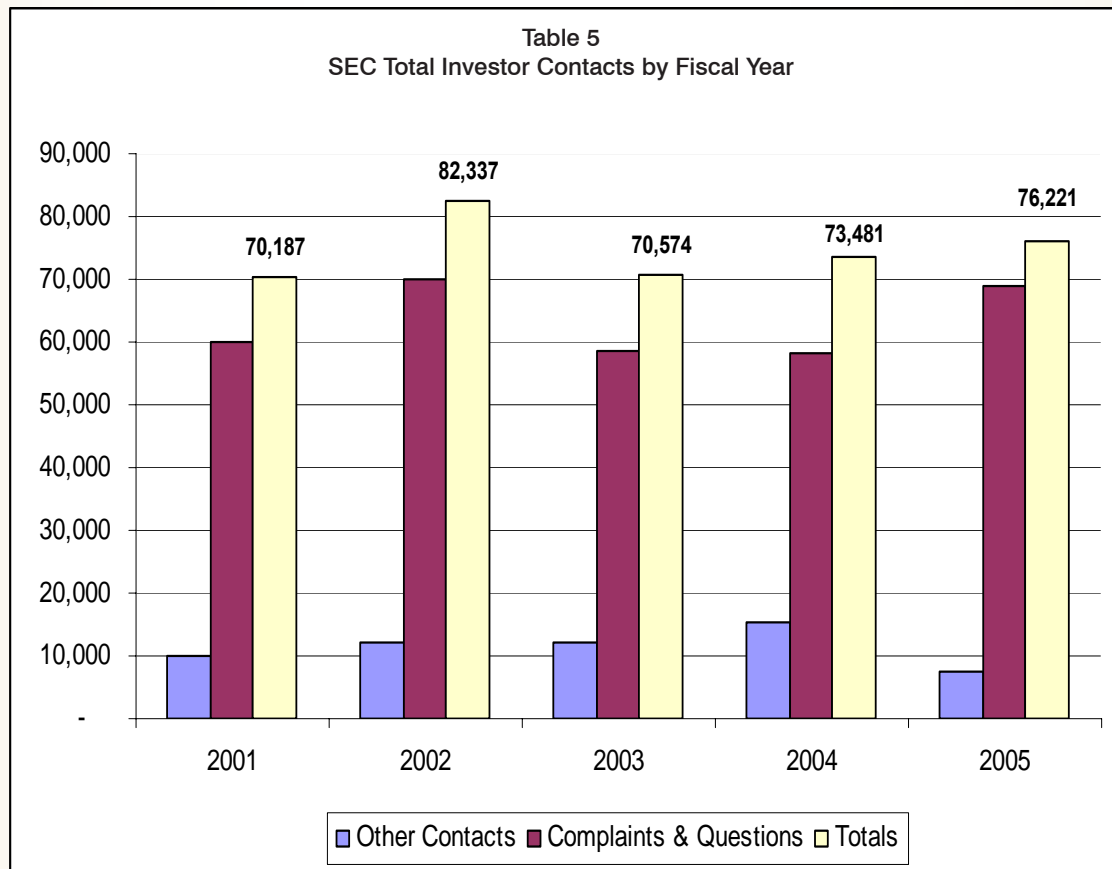
Pending as of October 1, 2004 .....	3,770
Opened in Fiscal Year 2005.....	947
Total.....	4,717
Closed in Fiscal Year 2005 .....	625
Pending as of September 30, 2005 .....	4,092
Formal Orders of Investigation	
Issued in Fiscal Year 2005 .....	272

\*\*\*\*\*

### **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 4 subpoenas based upon Section 21(h)(2)(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)	34
Section 1105 (Administrative Subpoenas)	164
Section 1107 (Judicial Subpoenas)	22
Section 1109 (Delayed Customer Notice)	0



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

	Complaint Type	FY 2005 Totals	FY 2004 Totals	Change	Rank in 2004
1	Advance Fee Fraud*	2,219	1,263	Up 75.30%	2
2	Spam: Unwanted Emails or Faxes	1,146	623	Up 83.79%	10
3	Transfer of Account Problems	844	789	Up 6.59%	4
4	Account Closing: Problems with Redemption, Liquidation, or Closing	841	710	Up 18.03%	7
5	Manipulation of Securities, Prices, or Markets	741	1,738	Down 57.42%	1
6	Bankruptcy or Issuer Reorganization	728	715	Up 1.68%	6
7	Theft of Funds or Securities	697	661	Up 5.14%	9
8	Unauthorized Transactions	653	803	Down 18.68%	3
9	Account Records: Errors or Omissions	645	577	Up 11.61%	n/a
10	Delivery of Funds or Proceeds	629	502	Up 24.90%	n/a

Thirty-one percent of all complaints involved broker-dealers.

\*In an “advance fee” scheme, the fraudsters offer to help the investors recover their losses by exchanging the worthless stock for an established, blue chip stock or by purchasing the stock outright. But investors must first pay an upfront “security deposit” or post an “insurance” or “performance bond.”

	Type of Entity	FY 2005 Totals	Percentage of Total
1	Broker-Dealer	6,239	31%
2	Issuers (Public Companies)s	4,027	20%
3	Transfer agents, Paying agents, or Registrars	934	5%
4	Mutual funds (and Other Investment Companies)	652	3%
5	Newsletters and Investment Publications	625	3%

**Table 7**  
**UNCONSOLIDATED FINANCIAL INFORMATION FOR BROKER-DEALERS**  
**2000 - 2004 1/**  
**(\$ in Millions)**

	2000	2001	2002	2003	2004
<b>Revenues</b>					
Securities Commissions	\$ 54,106.7	\$ 44,763.8	\$ 45,001.1	\$ 45,539.2	\$ 47,569.0
Gains (Losses) in Trading and Investment Accounts	70,777.7	38,950.3	24,240.9	38,808.1	\$ 30,669.9
Profits (Losses) from Underwriting and Selling Groups	18,717.6	16,941.1	14,698.2	17,163.1	19,099.0
Margin Interest	24,546.9	13,911.5	6,439.9	5,261.0	6,983.7
Revenues from Sale of Investment Company Shares	19,394.9	16,396.4	15,654.9	16,200.2	18,549.9
All Other Revenues	161,949.4	149,132.8	115,775.9	95,984.5	120,058.2
<b>Total Revenues</b>	<b>\$ 349,493.3</b>	<b>\$ 280,095.8</b>	<b>\$ 221,811.0</b>	<b>\$ 218,956.0</b>	<b>\$ 242,929.6</b>
<b>Expenses</b>					
Registered Representatives' Compensation (Part II Only) 2/	\$ 33,191.0	\$ 29,950.8	\$ 27,388.6	\$ 28,578.2	\$ 29,973.4
Other Employee Compensation and Benefits	55,307.3	48,311.6	43,508.7	44,800.5	50,018.6
Compensation to Partners and Voting Stockholder Officers	6,707.8	5,247.4	3,973.9	4,058.2	3,488.2
Commissions and Clearance Paid to Other Brokers	15,522.7	14,043.4	15,003.9	16,293.2	17,374.6
Interest Expenses	131,877.2	98,947.2	56,401.6	44,445.9	59,726.0
Regulatory Fees and Expenses	1,366.7	1,550.9	1,383.0	1,515.0	1,670.2
All Other Expenses 2/	66,417.3	62,647.7	58,889.2	53,611.5	57,489.7
<b>Total Expenses</b>	<b>\$ 310,390.0</b>	<b>\$ 260,698.9</b>	<b>\$ 206,549.0</b>	<b>\$ 193,300.6</b>	<b>\$ 219,740.7</b>
<b>Income and Profitability</b>					
Pre-tax Income	\$ 39,103.3	\$ 19,396.9	\$ 15,262.0	\$ 25,655.4	\$ 23,188.9
Pre-tax Profit Margin	11.2%	6.9%	6.9%	11.7%	9.5%
Pre-tax Return on Equity	31.1%	13.8%	10.7%	17.6%	15.0%
<b>Assets, Liabilities and Capital</b>					
Total Assets	\$2,865,721.0	\$3,371,298.1	\$3,261,465.3	\$3,980,376.8	\$4,830,925.7
Liabilities					
(a) Unsubordinated Liabilities	2,663,758.3	3,158,257.2	3,050,039.2	3,754,978.7	4,584,567.8
(b) Subordinated Liabilities	64,362.3	68,693.6	69,434.0	75,929.5	86,665.6
(c) Total Liabilities	2,728,120.6	3,226,950.8	3,119,473.0	\$3,830,908.2	\$4,671,233.4
Ownership Equity	\$ 137,600.4	\$ 144,347.2	\$ 141,992.5	\$ 149,468.6	\$ 159,692.3
Number of Firms	7,258	7,002	6,768	6,565	6,284

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**  
**2000 - 2004 1/**  
**(\$ in Millions)**

	2000	2001	2002	2003	2004
<u>Revenues</u>					
Securities Commissions	\$ 53,160.6	\$ 43,798.5	\$ 44,212.2	\$ 44,868.3	\$ 46,811.5
Gains (Losses) in Trading and Investment Accounts	60,720.3	33,566.5	20,090.4	33,747.9	26,045.4
Profits (Losses) from Underwriting and Selling Groups	18,718.0	16,941.2	14,697.5	17,163.1	19,099.0
Margin Interest	24,274.0	13,749.1	6,383.1	5,252.9	6,924.4
Revenues from Sale of Investment Company Shares	19,394.9	16,396.4	15,654.9	16,200.1	18,549.9
All Other Revenues	154,836.1	144,758.2	111,994.6	95,559.2	117,602.0
<b>Total Revenues</b>	<b>\$331,103.9</b>	<b>\$269,210.0</b>	<b>\$213,032.7</b>	<b>\$212,791.5</b>	<b>\$235,032.3</b>
<u>Expenses</u>					
Registered Representatives' Compensation (Part II only) 2/	\$ 33,162.0	\$ 29,948.6	\$ 27,380.5	\$ 28,567.6	\$ 29,959.0
Other Employee Compensation and Benefits	53,356.7	46,967.1	42,398.2	43,885.8	49,178.7
Compensation to Partners and Voting Stockholder Officers	5,450.3	4,976.9	3,759.8	3,855.3	3,319.3
Commissions and Clearance Paid to Other Brokers	14,719.0	13,422.4	14,414.5	15,803.2	16,909.9
Interest Expenses	127,211.5	96,120.5	55,180.0	43,315.8	57,913.6
Regulatory Fees and Expenses	1,204.6	1,343.7	1,208.5	1,280.5	1,464.3
All Other Expenses 2/	64,429.5	60,747.1	56,984.7	51,722.7	55,466.3
<b>Total Expenses</b>	<b>\$299,533.6</b>	<b>\$253,526.4</b>	<b>\$201,326.3</b>	<b>\$188,430.8</b>	<b>\$214,211.0</b>
<u>Income and Profitability</u>					
Pre-tax Income	\$ 31,570.3	\$ 15,683.6	\$ 11,706.4	\$ 24,360.7	\$ 20,821.3
Pre-tax Profit Margin	9.5%	5.8%	5.5%	11.4%	8.9%
Pre-tax Return on Equity	27.5%	12.3%	9.2%	18.8%	14.9%
Number of Firms	5,568	5,493	5,394	5,301	5,231

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, 2000 - 2004 1/**  
**(\$ in Millions)**

	2000	2001	2002	2003	2004
<u>Assets</u>					
Cash	\$ 33,472.4	\$ 50,722.9	\$ 47,710.9	\$ 50,219.2	\$ 64,996.5
Receivables from Other					
Broker-dealers	974,675.6	1,115,382.5	1,032,041.5	1,414,127.2	1,792,465.9
Receivables from Customers	203,704.3	177,944.3	132,739.7	163,107.2	214,374.0
Receivables from Non-customers	31,411.0	15,392.7	14,237.2	18,124.0	44,085.5
Long Positions in Securities and Commodities	614,927.6	775,941.9	789,608.2	1,004,562.4	1,071,660.1
Securities and Investments not Readily Marketable	9,845.9	10,486.6	9,729.6	11,516.8	13,489.6
Securities Purchased Under Agreements to Resell (Part II only) 2/	724,666.3	855,539.3	951,803.1	966,629.5	1,189,010.4
Exchange Membership	588.6	664.6	684.5	675.2	666.5
Other Assets 2/	120,788.9	212,798.3	135,646.5	154,872.6	213,735.9
<b>Total Assets</b>	<b>\$2,714,080.5</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>
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 80,745.4	\$ 75,897.2	\$ 51,369.7	\$ 74,199.5	\$ 90,173.4
Payables to Other Broker-dealers	473,215.1	562,210.8	466,809.3	742,116.9	1,033,641.6
Payables to Non-customers	50,748.0	56,710.4	60,817.5	66,146.9	63,782.6
Payables to Customers	359,818.6	391,358.5	349,781.6	407,244.9	510,339.9
Short Positions in Securities and Commodities	286,545.8	342,189.9	345,113.0	439,384.4	504,689.8
Securities Sold Under Repurchase Agreements (Part II only) 2/	1,092,436.3	1,282,754.8	1,405,679.3	1,564,762.4	1,801,674.5
Other Non-subordinated Liabilities 2/	182,476.9	306,860.4	242,125.0	280,547.5	370,991.2
Subordinated Liabilities	63,436.1	67,304.5	67,966.9	74,285.9	84,628.1
<b>Total Liabilities</b>	<b>\$2,589,422.2</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>Equity Capital</b>	<b>\$ 124,658.3</b>	<b>\$ 129,586.9</b>	<b>\$ 124,539.0</b>	<b>\$ 135,145.7</b>	<b>\$ 144,563.1</b>
Number of firms	5,568	5,493	5,394	5,301	5,231

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)**

	2003		2004		Percent Change 2003-2004
	Dollars	Percent of Total Revenues	Dollars	Percent of Total Revenues	
<u>Revenues</u>					
Securities Commissions	\$ 30,190.3	18.0%	\$ 31,752.0	17.0%	5.2%
Gains (Losses) in Trading and Investment Accounts	29,299.3	17.5	22,039.1	11.8	-24.8
Profits (Losses) from Under- writing and Selling Groups	16,062.4	9.6	17,592.8	9.4	9.5
Margin Interest	5,252.9	3.1	6,924.4	3.7	31.8
Revenues from Sale of Invest- ment Company Shares	8,340.7	5.0	9,360.2	5.0	12.2
Miscellaneous Fees	13,370.6	8.0	15,952.5	8.5	19.3
Revenues from Research	172.0	0.1	211.2	0.1	22.8
Other Securities Related Revenues	54,284.6	32.4	66,816.7	35.7	23.1
Commodities Revenues	-1,617.6	-1.0	1,545.4	0.8	-195.5
All Other Revenues	12,137.3	7.2	14,790.0	7.9	21.9
Total Revenues	<u>\$167,492.3</u>	<u>100.0%</u>	<u>\$186,984.4</u>	<u>100.0%</u>	<u>11.6%</u>
<u>Expenses</u>					
Registered Representatives' Compensation	\$ 28,567.6	17.1%	\$ 29,959.0	16.0%	4.9%
Other Employee Compensation and Benefits	32,192.1	19.2	36,272.1	19.4	12.7
Compensation to Partners and Voting Stockholder Officers	1,785.1	1.1	1,063.6	0.6	-40.4
Commissions and Clearance Paid to Other Brokers	6,429.9	3.8	6,580.1	3.5	2.3
Communications	4,376.2	2.6	4,624.3	2.5	5.7
Occupancy and Equipment Costs	6,796.2	4.1	6,342.2	3.4	-6.7
Data Processing Costs	3,056.1	1.8	3,227.0	1.7	5.6
Interest Expenses	42,685.7	25.5	57,499.9	30.8	34.7
Regulatory Fees and Expenses	1,041.9	0.6	1,266.0	0.7	17.7
Losses in Error Accounts and Bad Debts	358.8	0.2	330.9	0.2	-7.8
All Other Expenses	19,837.7	11.8	22,742.4	12.2	14.6
Total Expenses	<u>\$147,127.2</u>	<u>87.8%</u>	<u>\$169,867.6</u>	<u>90.8%</u>	<u>15.5%</u>
<u>Income and Profitability</u>					
Pre-tax Income	\$ 20,365.0	12.2%	\$ 17,116.8	9.2%	-15.9%
Pre-tax Profit Margin	12.2%		9.2%		
Pre-tax Return on Equity	19.3%		15.1%		
Number of Firms	585		576		

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)**

	2003		2004		Percent Change 2003-2004
	Dollars	Percent of Total Assets	Dollars	Percent of Total Assets	
<u>Assets</u>					
Cash	\$ 46,355.9	1.3%	\$ 60,640.1	1.3%	30.8%
Receivables from Other Broker-dealers	1,399,285.0	37.8%	1,773,899.5	39.4	26.8
(a) Securities Failed to Deliver	55,291.7	1.5%	87,703.7	1.9	58.6
(b) Securities Borrowed	1,290,205.9	34.8%	1,614,340.0	35.8	25.1
(c) Other	53,787.4	1.5%	71,855.8	1.6	33.6
Receivables from Customers	163,107.2	4.4%	214,374.0	4.8	31.4
Receivables from Non-customers	17,239.0	0.5%	43,141.2	1.0	150.3
Long Positions in Securities and Commodities	973,224.4	26.3%	1,030,816.7	22.9	5.9
(a) Bankers Acceptances, Certificates of Deposit and Commercial Paper	48,951.4	1.3%	45,959.8	1.0	-6.1
(b) U.S. and Canadian Government Obligations	534,095.4	14.4%	538,843.5	12.0	0.9
(c) State and Municipal Government Obligations	24,107.6	0.7%	31,534.7	0.7	30.8
(d) Corporate Obligations	201,076.6	5.4%	219,906.9	4.9	9.4
(e) Stocks and Warrants	98,391.3	2.7%	125,122.3	2.8	27.2
(f) Options	15,580.6	0.4%	14,903.6	0.3	-4.3
(g) Arbitrage	33,990.2	0.9%	35,159.7	0.8	3.4
(h) Other Securities	17,030.9	0.5%	19,385.8	0.4	13.8
(i) Spot Commodities	0.3	0.0%	0.4	0.0	33.3
Securities and Investments Not Readily Marketable	10,736.4	0.3%	12,831.2	0.3	19.5
Securities Purchased Under Agreements to Resell	966,629.5	26.1%	1,189,010.4	26.4	23.0
Exchange Membership	614.4	0.0%	624.3	0.0	1.6
Other Assets	127,052.3	3.4%	178,797.2	4.0	40.7
<b>Total Assets</b>	<b>\$3,704,243.9</b>	<b>100.0%</b>	<b>\$4,504,134.6</b>	<b>100.0%</b>	<b>21.6%</b>
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 73,997.4	2.0%	\$ 86,991.5	1.9%	17.6%
Payables to Other Broker-dealers	731,863.0	19.8%	1,014,395.6	22.5	38.6
(a) Securities Failed to Receive	56,383.3	1.5%	104,912.0	2.3	86.1
(b) Securities Loaned	616,626.0	16.6%	850,694.6	18.9	38.0
(c) Other	58,853.7	1.6%	58,789.0	1.3	-0.1
Payables to Non-customers	65,457.3	1.8%	63,043.9	1.4	-3.7
Payables to Customers	407,244.9	11.0%	510,339.9	11.3	25.3
Short Positions in Securities and Commodities	420,190.9	11.3%	487,203.7	10.8	15.9
Securities Sold Under Repurchase Agreements	1,564,762.4	42.2%	1,801,674.5	40.0	15.1
Other Non-subordinated Liabilities	257,713.2	7.0%	342,482.5	7.6	32.9
Subordinated Liabilities	72,323.8	2.0%	81,711.8	1.8	13.0
<b>Total Liabilities</b>	<b>\$3,593,552.8</b>	<b>97.0%</b>	<b>\$4,387,843.4</b>	<b>97.4%</b>	<b>22.1%</b>
Equity Capital	\$ 110,691.1	3.0%	\$ 116,291.2	2.6%	5.1%
Number of Firms	585		576		

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>
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
2005	\$34,561,572	\$33,219,676	\$350,365	\$991,531	5,493,850

Calendar Year 2005

AMEX	\$724,658	\$558,353	\$42,112	\$124,192	0
BSE	\$229,016	\$160,104	\$17,895	\$51,017	0
CBOE	\$313,699	\$12,916	\$78,065	\$222,717	0
CHX	\$397,217	\$397,217	\$0	\$0	0
CMX	\$14	\$0	\$0	\$14	8,391
ISE	\$357,426	\$0	\$91,698	\$265,728	0
NASD	\$10,430,821	\$10,430,821	\$0	\$0	0
NSX	\$3,488,667	\$3,488,667	\$0	\$0	0
NYSE	\$14,381,510	\$14,381,510	\$0	\$0	0
OneChicago	\$11,590	\$0	\$0	\$11,590	5,485,459
PCX	\$3,995,174	\$3,741,941	\$71,269	\$181,964	0
PHLX	\$231,782	\$48,147	\$49,325	\$134,309	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, 2004**

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	725	189,161.4	56	1,821.1	20	0.0	801	190,982.5
Boston	40	890.6	0	0.0	0	0.0	40	890.6
Cincinnati	0	0.0	0	0.0	0	0.0	0	0.0
Chicago	3	136.3	0	0.0	0	0.0	3	136.3
New York	2,159	12,821,035.2	358	49,012.3	874	0.0	3,391	12,870,047.5
Pacific	3	987.7	2	44.9	0	0.0	5	1,032.6
Philadelphia	0	0.0	3	10	0	0.0	3	10.0
<b>Total</b>	<b>2,930</b>	<b>13,012,211.2</b>	<b>419</b>	<b>50,888.3</b>	<b>894</b>	<b>0.0</b>	<b>4,243</b>	<b>13,063,099.5</b>

Includes Foreign Stocks:

New York	469	853,061.7	20	5,259.6	185	0.0	674	858,321.3
American	75	80,743.0	0	0.0	0	0.0	75	80,743.0
Boston	5	125.5	0	0.0	0	0.0	5	125.5
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>549</b>	<b>933,930.2</b>	<b>20</b>	<b>5,259.6</b>	<b>185</b>	<b>0.0</b>	<b>754</b>	<b>939,189.8</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
2003r	11,470.9	107.6	2.6	11,581.1
2004	12,870.0	191.0	2.1	13,063.1

Source: SEC Form 1392