

SELECT SEC AND MARKET DATA FISCAL 2007

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Table 1
ENFORCEMENT MILESTONES
FISCAL 2007

<ul style="list-style-type: none"> • Obtained orders in SEC judicial and administrative proceedings requiring securities violators to disgorge illegal profits of approximately \$1.093 billion and to pay penalties of approximately \$507 million.
<ul style="list-style-type: none"> • Sought orders barring 125 defendants and respondents from serving as officers or directors of public companies.
<ul style="list-style-type: none"> • Sought emergency relief from federal courts in the form of temporary restraining orders (TROs) to halt ongoing fraudulent conduct in 37 actions, and sought asset freezes in 42 actions.
<ul style="list-style-type: none"> • Filed 6 actions to enforce investigative subpoenas.
<ul style="list-style-type: none"> • Halted trading in securities of 94 issuers about which there was inadequate public disclosure.

In SEC-related criminal cases, prosecutors filed indictments, informations, or contempts in 144 cases.

Table 3
FISCAL 2007 ENFORCEMENT CASES
LISTED BY PROGRAM AREA

Name of Case	Release No.	Date Filed
Broker-Dealer		
In the Matter of Global Express Securities, Inc.	34-54557	10/02/2006
SEC v. Gene T. Mancinelli	LR-19857	10/02/2006
In the Matter of Wall Street Access	33-8749	10/12/2006
In the Matter of Tracey A. Edwards	34-54604	10/16/2006
In the Matter of Timothy F. Bell	34-54605	10/16/2006
In the Matter of Dennis A. Martin	34-54828	10/18/2006
In the Matter of Marcos Martinez, et al.	34-55276	10/18/2006
In the Matter of Gregory A. Applegate	34-54669	10/30/2006
SEC v. Jamie L. Solow	LR-19906	11/08/2006
In the Matter of 1st Global Capital Corp.	34-54754	11/15/2006
In the Matter of Bear, Stearns & Co., Inc.	33-8756	11/21/2006
In the Matter of Jefferies & Co., Inc., et al.	34-54861	12/01/2006
In the Matter of Kevin W. Quinn	34-54862	12/01/2006
In the Matter of Guillaume Pollet	34-54924	12/12/2006
In the Matter of John M. Repine, et al.	34-54937	12/14/2006
In the Matter of Tonino Labella	34-54951	12/18/2006
In the Matter of David R. Lund	34-54974	12/20/2006
In the Matter of Scott E. Dreyer	33-8761	12/20/2006
SEC v. Friedman, Billings, Ramsey & Co., Inc., et al.	LR-19950	12/20/2006
In the Matter of John C. Flanders, Jr.	34-54996	12/21/2006
In the Matter of Deutsche Bank Securities, Inc.	34-54993	12/21/2006
SEC v. Michael G. Velasco	LR-20012	12/21/2006
In the Matter of Todd W. Miller	34-55024	12/29/2006
In the Matter of Jeffrey L. Houdek	34-55023	12/29/2006
In the Matter of Deutsche Bank Trust, et al.	33-8768	01/09/2007
In the Matter of Pacific Growth Equities, LLC, et al.	34-55148	01/23/2007
In the Matter of Tempo Securities Corporation, et al.	34-55834	01/24/2007
In the Matter of Vertical Capital, et al.	34-55177	01/25/2007
In the Matter of Michael Sassano, et al.	33-8778	01/31/2007
In the Matter of Marshall Dornfeld	34-55209	01/31/2007
In the Matter of Temple Securities, LTD, et al.	33-8779	02/01/2007
In the Matter of Jackie G. Gross, Sr.	34-55228	02/02/2007
In the Matter of Trautman Wasserman & Company, Inc., et al.	34-55990	02/05/2007
In the Matter of Robert Montani, Jr.	34-55441	02/07/2007
In the Matter of James Cavaliere	34-55535	02/08/2007

Name of Case	Release No.	Date Filed
In the Matter of William J. Mueger	34-55303	02/15/2007
In the Matter of Shea Silva	34-55327	02/21/2007
In the Matter of Goldman Sachs Execution & Clearing, L.P.	34-55465	03/14/2007
In the Matter of Salvatore F. Sodano	34-55509	03/22/2007
In the Matter of Dean C. Reder	34-55527	03/26/2007
In the Matter of Anthony Coppola	34-55573	04/03/2007
In the Matter of Kenneth Ko	34-55827	04/03/2007
In the Matter of Park Financial Group, Inc., et al.	34-55614	04/11/2007
In the Matter of Daniel Lovaglio	34-55905	04/20/2007
In the Matter of Tier One Inc., et al.	33-8793A	04/24/2007
In the Matter of Shoreland Trading, LLC	34-55688	05/01/2007
In the Matter of A.G. Edwards & Sons, Inc.	34-55692	05/02/2007
In the Matter of Charles A. Sacco	33-8795	05/02/2007
In the Matter of Thomas C. Bridge, et al.	33-8798	05/02/2007
In the Matter of Citigroup Global Markets, Inc.	34-55712	05/07/2007
In the Matter of Zurich Capital Markets Inc.	34-55711	05/07/2007
In the Matter of Morgan Stanley & Co., Incorporated	34-55726	05/09/2007
SEC v. Angelo Ragone, et al.	LR-20215	05/11/2007
In the Matter of George B. Fasciano	34-55763	05/15/2007
SEC v. Michael W. Crow, et al.	LR-20117	05/15/2007
In the Matter of Michael Edward Zimmerman	34-55778	05/17/2007
In the Matter of Larry Michael Parrish	34-55779	05/17/2007
In the Matter of Terrence J. O'Donnell	34+55798	05/22/2007
In the Matter of David A. Zwick	34-55797	05/22/2007
In the Matter of Angelo Ragone	34-55813	05/25/2007
In the Matter of Stanislav Kaminsky	34-55914	06/15/2007
In the Matter of Keith A. Rogers	34-50652	07/12/2007
In the Matter of Keith M. Geller	34-56053	07/24/2007
In the Matter of Michael J. Rice	34-56163	07/30/2007
In the Matter of Stephen Luscko	34-56244	08/14/2007
In the Matter of NEXT Financial Group, Inc.	34-56316	08/24/2007
In the Matter of Martin S. Duffield, et al.	33-8838	09/05/2007
In the Matter of Maria Giesige	33-8839	09/05/2007
In the Matter of Commonwealth Equity Services, LLP	34-56362	09/06/2007
In the Matter of Detwiler, Mitchell, Fenton & Graves, Inc.	34-56363	09/06/2007
In the Matter of James X. McCarty	34-56364	09/06/2007
In the Matter of Alexander Ricci, et al.	34-56466	09/19/2007
SEC v. Joseph Simone, et al.	LR-20295	09/20/2007
SEC v. Darin DeMizio, et al.	LR-20291	09/20/2007
In the Matter of Joseph Simone	34-56473	09/20/2007

Name of Case	Release No.	Date Filed
In the Matter of Gary Manfre	34-56474	09/20/2007
In the Matter of Joseph Caracciolo	34-56475	09/20/2007
SEC v. Mohamad Zein, et al.	LR-20307	09/25/2007
In the Matter of Bryon S. Rainer	34-56522	09/25/2007
In the Matter of Guy P. Riordan	33-8845	09/25/2007
SEC v. Michael B. Upton	LR-20299	09/25/2007
In the Matter of Mario Casias	34-56529	09/25/2007
In the Matter of Ryan D. Goldberg, et al.	34-56518	09/25/2007
In the Matter of Mutuals.com, Inc., et al.	33-8847	09/26/2007
In the Matter of Regional Brokers, Inc., et al.	34-56542	09/27/2007
In the Matter of D.M. Keck & Co., Inc., et al.	34-56543	09/27/2007
In the Matter of Mark Palzaao, et al.	34-56550	09/27/2007
In the Matter of Michael B. Upton	34-56580	09/28/2007
In the Matter of MCL Financial Group, Inc., et al.	34-56579	09/28/2007
Civil Contempt		
SEC v. Henry Jones	NONE	10/05/2006
SEC v. Edward S. Digges, Jr., et al.	LR-19866	10/09/2006
SEC v. Henry C. Yuen	NONE	03/21/2007
SEC v. Sherwin P. Brown, et al.	LR-20081	04/03/2007
SEC v. Patrick Kirkland	NONE	04/05/2007
SEC v. Gifford M. Mabie, Jr.	NONE	04/19/2007
SEC v. Robert Casey Hall	NONE	04/19/2007
SEC v. Kermit Silva	NONE	05/30/2007
SEC v. Archie Paul Reynolds, et al.	LR-20048	06/12/2007
SEC v. Bryan Kos	NONE	06/12/2007
SEC v. Universal Express, Inc., et al.	NONE	06/29/2007
SEC v. Donald E. Oehmke	NONE	07/10/2007
Delinquent Filing: Issuer Reporting		
In the Matter of New Yorker Marketing Corp., et al.	34-54687	10/05/2006
In the Matter of Globe Staff Consulting Corporation	34-54630	10/20/2006
In the Matter of Calneva Capital Corp., et al.	34-54950	11/08/2006
In the Matter of FuelNation, Inc., et al.	34-55863	11/08/2006
In the Matter of Amanda Company, Inc., et al.	34-54817	11/27/2006
In the Matter of American International Petroleum Corp., et al.	34-54962	11/30/2006
In the Matter of Exprofuels, Inc., et al.	34-55036	12/01/2006
In the Matter of Detour Media Group, Inc., et al.	34-55521	12/01/2006
In the Matter of Antares Resources Corp., et al.	34-55205	12/06/2006

Name of Case	Release No.	Date Filed
In the Matter of Energy Vision International, Inc.	34-55183	12/13/2006
In the Matter of Cmerun Corp., et al.	34-55839	12/28/2006
In the Matter of Cosmetic Center, Inc., et al.	34-55690	12/29/2006
In the Matter of Able Laboratories, Inc.	34-55074	01/10/2007
In the Matter of Providence Capital III, Inc., et al.	34-55143	01/10/2007
In the Matter of Combined Companies Corp., et al.	34-55297	01/11/2007
In the Matter of OCA, Inc.	34-55093	01/12/2007
In the Matter of Buffalo Capital V, Ltd., et al.	34-55241	01/12/2007
In the Matter of Capmacco Corp., et al.	34-55449	01/17/2007
In the Matter of Auto Wholesale Specialist, Inc., et al.	34-55487	01/31/2007
In the Matter of Airstar Technologies, Inc., et al.	34-55470	02/08/2007
In the Matter of SVT, Inc.	34-55403	03/06/2007
In the Matter of Washington Corp.	34-55404	03/06/2007
In the Matter of ABS Industries, Inc.	34-55400	03/06/2007
In the Matter of Mill Creek Research, Inc.	34-55401	03/06/2007
In the Matter of Preview Systems, Inc.	34-55402	03/06/2007
In the Matter of One Price Clothing Stores, Inc.	34-55516	03/23/2007
In the Matter of Financialweb.com, Inc., et al.	34-55654	04/04/2007
In the Matter of Commonwealth Growth Fund II, et al.	34-55821	04/12/2007
In the Matter of Marex.com, Inc., et al.	34-55787	04/24/2007
In the Matter of Airbomb.com, Inc., et al.	34-55855	04/24/2007
In the Matter of American Teletronics, Inc.	34-56243	06/21/2007
In the Matter of Laminaire Corp., et al.	34-56019	06/27/2007
In the Matter of Nature's Sunshine Products, Inc.	34-56059	07/12/2007
In the Matter of Rigid Airship USA, Inc.	34-56060	07/13/2007
In the Matter of Sonex Research, Inc.	34-56061	07/13/2007
In the Matter of Sports Arenas, Inc.	34-56062	07/13/2007
In the Matter of TCPI, Inc.	34-56063	07/13/2007
In the Matter of Starlite Acquisition Corp.	34-56081	07/17/2007
In the Matter of Galaxy Minerals, Inc.	34-56326	07/18/2007
In the Matter of Bentley Commerce Corp., et al.	34-56381	07/19/2007
In the Matter of American Pad & Paper Co., et al.	34-56488	07/20/2007
In the Matter of The CattleSale Co., et al.	34-56342	07/20/2007
In the Matter of Environmental Safeguards, Inc., et al.	34-56546	08/23/2007
In the Matter of 800America.com, Inc.	34-56358	09/06/2007
In the Matter of Aurora Acquisitions, Inc., et al.	34-56388	09/11/2007
In the Matter of Golf Training Systems, Inc., et al.	34-56572	09/12/2007
In the Matter of Lapa Acquisition Corp., et al.	34-56393	09/12/2007
In the Matter of Lapta Acquisition Corp., VI, et al.	34-56394	09/12/2007
In the Matter of Austrian Trading Services, Inc., et al.	34-564441	09/14/2007

Name of Case	Release No.	Date Filed
In the Matter of Plasticon International, Inc.	34-56490	09/21/2007
In the Matter of Solv-Ex Corporation	34-56505	09/24/2007
In the Matter of Novatek International Inc.	34-56537	09/26/2007
In the Matter of Diatect International Corp.	34-56548	09/27/2007
Insider Trading		
SEC v. CNS, Inc.	LR-19867	10/12/2006
SEC v. Robert J. Gallivan	LR-19929	11/30/2006
SEC v. Adam M. Lloyd, et al.	LR-19944	12/12/2006
SEC v. Edwin Buchanan Lyon, IV, et al.	LR-19942	12/12/2006
SEC v. John F. Mangan, Jr.	LR-19955	12/28/2006
In the Matter of Friedman, Billings, Ramsey & Co., Inc.	34-55105	01/12/2007
In the Matter of Emanuel J. Friedman	34-55104	01/12/2007
SEC v. Donald A. Erickson	LR-19992	02/06/2007
SEC v. Daniel Fongnien Chiang, et al.	LR-19994	02/08/2007
SEC v. Aragon Capital Management LLC, et al.	LR-20053	02/13/2007
SEC v. Alexandre Ponzio De Azevedo	LR-20013	02/22/2007
SEC v. Luiz Gonzaga Murat Junior	LR-20013	02/22/2007
SEC v. Matthew E. Kopsky, et al.	AAER-2565	02/26/2007
SEC v. Blue Bottle Limited et al.	LR-20095	02/26/2007
SEC v. Mitchel S. Guttenberg, et al.,	LR-20022	03/01/2007
SEC v. TXU Corp.	LR-20028	03/02/2007
In the Matter of Alexandre Ponzio De Azevedo	34-55417	03/07/2007
SEC v. Shashikant C. Shah	LR-20034	03/08/2007
In the Matter of Banc of America Securities LLC	34-56451	03/14/2007
SEC v. Melvyn C. Goldstein	LR-20040	03/14/2007
In the Matter of Barry Hertz	34-55512	03/22/2007
SEC v. Kevin J. Heron	LR-20079	04/18/2007
SEC v. Gary K. Melton	LR-20085	04/23/2007
SEC v. Kan King Wong, et al.	LR-20106	05/08/2007
SEC v. Jennifer Xujia Wang, et al.	LR-20112	05/10/2007
SEC v. Christopher M. Balkenhol	LR-20115	05/14/2007
SEC v. Raymond C. Chop, et al.	LR-20188	05/23/2007
SEC v. Barclays Bank PLC, et al.	LR-20132	05/30/2007
SEC v. David A. Schwinger, CA	LR-20152	06/13/2007
SEC v. Joseph Galamb	LR-20153	06/13/2007
SEC v. Terese Dearmin, et al.	LR-20155	06/18/2007
SEC v. Romano Ancelmo Fontana Filho	LR-20157	06/19/2007
In the Matter of Timothy J. O'Connell	34-56018	07/05/2007

Name of Case	Release No.	Date Filed
In the Matter of Warren R. Fellus	34-56022	07/06/2007
SEC v. Shane Bashir Suman, et al.	LR-20203	07/24/2007
In the Matter of John J. Amore	34-56144	07/26/2007
In the Matter of Gary M. Kornman	34-56164	07/30/2007
SEC v. Joseph A. Frohna	LR-20222	08/01/2007
SEC v. Chauncey Shey	LR-20270	09/06/2007
SEC v. Robert A. Berlacher, et al.	LR-20278	09/13/2007
SEC v. Joseph P. Keeney, CA	LR-20297	09/25/2007
SEC v. Gregg Ashley Smith, et al.	LR-20306	09/27/2007
SEC v. Marlin S. Hershey	LR-20303	09/27/2007
SEC v. Morris Gad, et al.	LR-20305	09/27/2007
SEC v. Daniel Joseph McKay	LR-20314	09/28/2007
SEC v. Salvador Chavarria, et al.	LR-20313	09/28/2007
In the Matter of Eugene Plotkin	34-56582	09/28/2007
Investment Adviser		
SEC v. Steven B. Markovitz	LR-19862	10/11/2006
SEC v. Hyun Soo Jang, et al.	LR-19880	10/25/2006
In the Matter of Stephen J. Treadway	IA-2566	11/07/2006
In the Matter of Hartford Investment Financial Services, LLC, et al.	34-54720	11/08/2006
SEC v. Viper Capital Management, LLC, et al.,	LR-19905	11/08/2006
SEC v. Spiro Germenis, et al.	LR-19920	11/16/2006
In the Matter of Mark R. Conway	IA-2568	11/20/2006
In the Matter of FCA Corp., et al.	IA-2569	11/29/2006
In the Matter of Kelsey L. Garman	IA-2570	11/30/2006
SEC v. Peter J. Dawson, et al.	LR-19927	11/30/2006
In the Matter of Kaplan & Co. Securities, Inc., et al.	34-54954	12/18/2006
In the Matter of James Barlow Smith	IA-2571	12/18/2006
In the Matter of Spinner Asset Management, LLC, et al.	33-8763	12/20/2006
In the Matter of Deutsche Asset Management, Inc., et al.	IA-2575	12/21/2006
In the Matter of Lawrence J. Lasser	IA-2578	01/09/2007
SEC v. John M. Fife, et al.	LR-20250	01/18/2007
In the Matter of Fred Alger, et al.	34-55118	01/18/2007
In the Matter of Kelmoore Investment Co., Inc.	33-8774	01/18/2007
In the Matter of Douglas P. Miller	34-55150	01/23/2007
In the Matter of Joseph J. Spiegel	IA-2585	01/24/2007
In the Matter of Robert M. Massimi	IA-2583	01/24/2007
In the Matter of Bret Grebow	IA-2584	01/24/2007
In the Matter of Keith G. Gilabert	34-55785	01/31/2007

Name of Case	Release No.	Date Filed
SEC v. Ravi V. Kothare, et al.	LR-20002	02/09/2007
In the Matter of Michael G. Velasco	34-55322	02/21/2007
In the Matter of Melhado, Flynn & Associates Inc., et al.	34-55356	02/26/2007
In the Matter of Amir Rosenthal	IA-2594	02/28/2007
In the Matter of Kirk S. Wright	IA-2595	03/02/2007
In the Matter of Imperium Advisors, LLC	34-55483A	03/15/2007
SEC v. Albert E. Parish, Jr., et al.	LR-20107	04/05/2007
In the Matter of Geoffrey Brod	IA-2600	04/09/2007
SEC v. Lydia Capital, LLC, et al.	LR-20102	05/03/2007
In the Matter of Stephen J. Treadway	IA-2602	05/14/2007
In the Matter of Allocation Plus Asset Management Company, Inc.	IA-2606	05/23/2007
In the Matter of Albert E. Parish, Jr.	IA-2607	05/25/2007
In the Matter of Justin Scott	IA32608	06/04/2007
In the Matter of Omid Kamshad	IA-2609	06/04/2007
In the Matter of John Hancock Investment Management Services, LLC, et al.	34-55946	06/25/2007
In the Matter of Rajeev Johar	IA-2611	06/26/2007
SEC v. Simpson Capital Management, Inc., et al.	LR-20168	06/27/2007
In the Matter of Peter Krieger, et al.	34-56006	07/03/2007
In the Matter of Geoffrey A. Gish	IA-2616	07/06/2007
In the Matter of Haidar Capital Management, LLC, et al.	33-8820	07/06/2007
In the Matter of C. Wesley Rhodes, Jr.	IA-2619	07/12/2007
In the Matter of Vincent Montagna	IA-2621	07/25/2007
In the Matter of William M. Stickney	34-56168	07/30/2007
In the Matter of Patrick Phillip Davison	34-56192	08/02/2007
In the Matter of Rhodes Econometrics, Inc.	IA-2631	08/13/2007
In the Matter of Schultze Asset Management LLC, et al.	IA-2633	08/15/2007
In the Matter of Quattro Global Capital, LLC	34-56254	08/15/2007
In the Matter of Joseph A. Frohna	IA-2635	08/16/2007
SEC v. Sentinel Management Group, Inc.	LR-20249	08/20/2007
In the Matter of John M. Fife	IA-2636	08/21/2007
In the Matter of John Hunting Whittier	IA-2637	08/21/2007
In the Matter of Michael Carl Hoffman	IA-2638	08/22/2007
In the Matter of Folger Nolan Fleming Douglas Capital Mgm't, Inc., et al.	IA-2639	08/23/2007
In the Matter of Anthony M. Ramunno, Jr.	IA-2640	09/04/2007
In the Matter of Brent William Federighi	IA-2641	09/04/2007
In the Matter of Yanni Partners, Inc., et al.	IA-2642	09/05/2007
SEC v. Senior Resources of Hawaii, Inc., et al.	LR-20287	09/07/2007
In the Matter of James J. Peperno, Jr.	IA-2646	09/11/2007
In the Matter of David Byck, et al.	33-8841	09/14/2007

Name of Case	Release No.	Date Filed
In the Matter of William M. Ennis	34-56464	09/19/2007
SEC v. HSBC Bank USA, N.A.	33-8844	09/19/2007
In the Matter of Callan Associates	IA-2650	09/19/2007
In the Matter of Amaroq Asset Management, LLC, et al.	IA-2651	09/24/2007
In the Matter of Financial Design Associates, Inc., et al.	IA-2654	09/25/2007
In the Matter of Justin F. Ficken	34-56531	09/26/2007
In the Matter of Kangsan Kim	34-56536	09/26/2007
SEC v. Alexander James Trabulse, et al.	LR-20300	09/26/2007
In the Matter of Steven Andrew Roberts	33-8848	09/27/2007
SEC v. Charles P. Trigilio	LR-20308	09/27/2007
Investment Company		
In the Matter of General American Life Insurance Co., et al.	33-8832	08/09/2007
In the Matter of Pritchard Capital Partners, LLC, et al.	34-56374	09/07/2007
In the Matter of Evergreen Investment Management Co., LLC, et al.	34-56462	09/19/2007
In the Matter of Allianceberstein, LP	IA-2663	09/28/2007
In the Matter of Putnam Investment Management, LLC	IA-2664	09/28/2007
In the Matter of Salomon Brothers Asset Management, Inc.	IA-2665	09/28/2007
In the Matter of Smith Barney Fund Management LLC	IA-2666	09/28/2007
Issuer Reporting and Disclosure		
In the Matter of Mark P. Abide, CPA	34-54564	10/03/2006
SEC v. Jerry K. Castleman, et al.	AAER-2663	10/13/2006
In the Matter of Statoil, ASA	34-54599	10/13/2006
SEC v. Romulus S. Pereira, et al.	LR-19869	10/16/2006
In the Matter of Schnitzer Steel Industries, Inc.	34-54606	10/16/2006
In the Matter of Ronald J. Goedde, CPA	34-54634	10/20/2006
In the Matter of Martin J. Merritt, CPA	34-54661	10/27/2006
SEC v. Eric G. Borrmann	LR-19895	10/30/2006
SEC v. Delphi Corporation, et al.	LR-19891	10/30/2006
In the Matter of B.N. Bahadur	34-54665	10/30/2006
In the Matter of Stuart Doyle	34-54666	10/30/2006
In the Matter of Laura Marion	34-54667	10/30/2006
In the Matter of Kevin Curry	34-54668	10/30/2006
In the Matter of Douglas W. Marcille, CPA	34-54677	10/31/2006
SEC v. Martin Zaepfel	LR-19897	11/02/2006
SEC v. James Cannataro	LR-19897	11/02/2006
SEC v. Michael Crusemann, et al.	LR-19897	11/02/2006
SEC v. John Steele	LR-19897	11/02/2006
SEC v. Michael Moran, et al.	LR-19897	11/02/2006

Name of Case	Release No.	Date Filed
In the Matter of Horst Hansen	AAER-2507	11/02/2006
In the Matter of David Kreinberg, CPA	34-54712	11/06/2006
In the Matter of Thomas P. Clark	34-54736	11/09/2006
In the Matter of Charles B. Spadoni	34-54774	11/17/2006
SEC v. Mercer Capital, Inc., et al.	LR-19924	11/21/2006
In the Matter of Ashland Inc., et al.	AAER-2518	11/29/2006
SEC v. Bart A. Thielbar, et al.	AAER-2520	12/04/2006
In the Matter of Michael S. Joseph, CPA	AAER-2523	12/11/2006
In the Matter of Thomas F. Garbe	AAER-2522	12/11/2006
In the Matter of Mark B. Leffers, CPA	AAER-2524	12/14/2006
SEC v. Paul E. Yarick	AAER-2526	12/20/2006
In the Matter of Interstate Bakeries Corporation	AAER-2528	12/21/2006
SEC v. Richard D. Power, et al.	AAER-2603	12/21/2006
In the Matter of Whitemark Homes, Inc., et al.	AAER-2529	12/29/2006
In the Matter of Paul Heidbrink, CPA	AAER-2530	12/29/2006
SEC v. Lawrence B. Evans, et al.	AAER-2586	01/08/2007
In the Matter of Jana L. Quam, CPA	AAER-2535	01/08/2007
In the Matter of Cary B. Griswold, CPA	AAER-2534	01/08/2007
In the Matter of David A. Monaghan, CPA	AAER-2533	01/08/2007
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SEC v. Sure Trace Security Corp., et al.	LR-20277	09/13/2007
In the Matter of HSBC Bank USA, N.A.	33-8844	09/19/2007
In the Matter of David S. Grosky	34-56482	09/20/2007
SEC v. Transnational Fund, Inc., et al.	LR-20294	09/21/2007
In the Matter of Michael Vallone	34-56514	09/24/2007
In the Matter of George Beros	34-56520	09/25/2007

Name of Case	Release No.	Date Filed
SEC v. Phillip W. Offill, Jr., et al.	LR-20302	09/26/2007
SEC v. ProVision Operation Systems, Inc., et al.	LR-20301	09/27/2007
SEC v. Advance Body Imaging, LP, et al.	LR-20309	09/27/2007
SEC v. U.S. Pension Trust Corp., et al.	LR-20315	09/28/2007
Self Regulatory Organization		
In the Matter of American Stock Exchange LLC	34-55507	03/22/2007
In the Matter of Richard Robinson	34-55508	03/22/2007
SEC v. James B. Crofwell	LR-20265	09/05/2007
In the Matter of Boston Stock Exchange, Inc., et al.	34-56352	09/05/2007

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

Pending as of October 1, 2006	4,146
Opened in Fiscal Year 2007	776
Total	4,922
Closed in Fiscal Year 2007	374
Pending as of September 30, 2007	4,548
Formal Orders of Investigation	
Issued in Fiscal Year 2007	229

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 no subpoenas under Section 21(h). 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)	36
Section 1105 (Administrative Subpoenas)	212
Section 1107 (Judicial Subpoenas)	5
Section 1109 (Delayed Customer Notice)	0

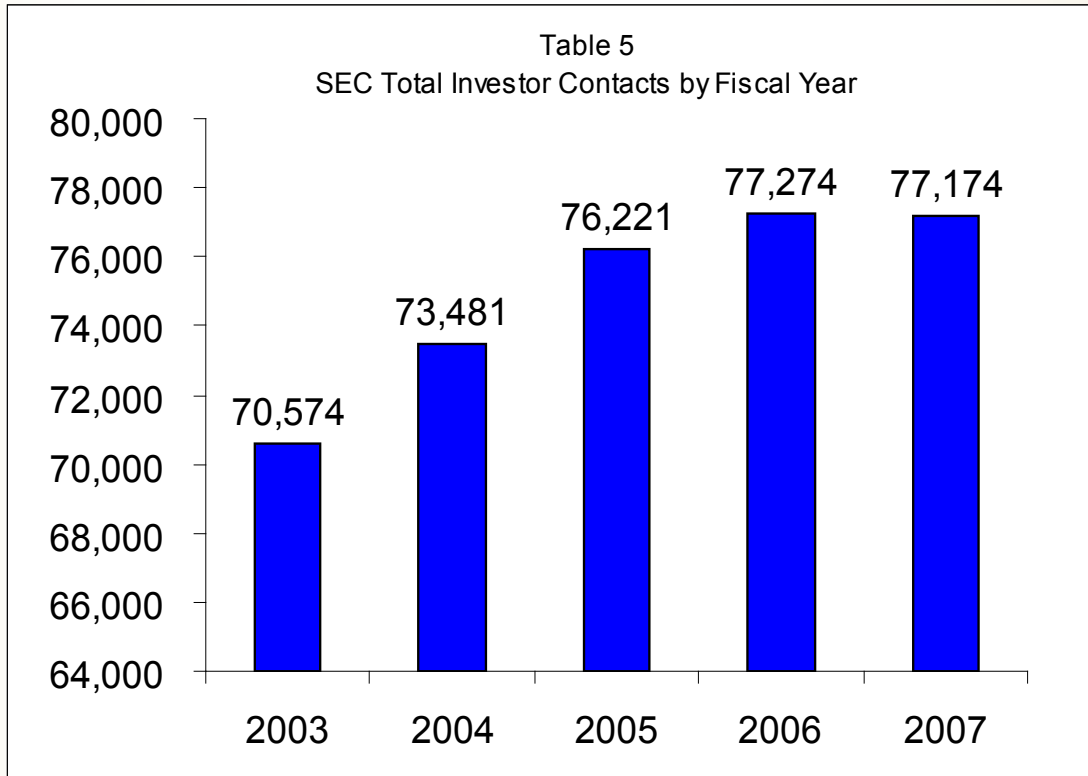


Table 6
TEN MOST COMMON COMPLAINTS

	Complaint Type	FY 2007 Totals	FY 2006 Totals	Change	Rank in 2006
1	Spam: Unwanted Emails or Faxes	1,755	1,950	Down 10%	2
2	Advance Fee Fraud	1,706	2,099	Down 19%	1
3	Manipulation of Securities, Prices, or Markets	899	953	Down 6%	3
4	Account Records: Errors or Omissions	800	773	Up 4%	5
5	Transfer of Account	781	806	Down 3%	4
6	Delivery of Funds or Proceeds	763	666	Up 15%	7
7	Account Closing: Problems with Redemption, Liquidation or Closing	641	719	Down 11%	6
8	Short Selling	604	631	Down 4%	8
9	Theft of funds or securities	499	570	Down 13%	n/a
10	Misrepresentations: Inaccurate or Incomplete Disclosures	458	426	Up 8%	n/a

Table 7
UNCONSOLIDATED FINANCIAL INFORMATION FOR BROKER-DEALERS
2002 - 2006 1/
(\$ in Millions)

	2002	2003	2004	2005	2006
Revenues					
Securities Commissions	\$ 45,001.1	\$ 45,539.2	\$ 47,569.0	\$ 46,803.2	\$ 49,671.4
Gains (Losses) in Trading and Investment Accounts	24,240.9	38,808.1	\$ 30,669.9	30,681.0	55,193.1
Profits (Losses) from Underwriting and Selling Groups	14,698.2	17,163.1	19,099.0	19,877.7	23,623.2
Margin Interest	6,439.9	5,261.0	6,983.7	13,269.8	23,689.5
Revenues from Sale of Investment Company Shares	15,654.9	16,200.2	18,549.9	20,698.8	23,346.0
All Other Revenues	115,775.9	95,984.5	120,058.2	201,170.5	282,940.6
Total Revenues	\$ 221,811.0	\$ 218,956.0	\$ 242,929.6	\$ 332,501.1	\$ 458,463.7
Expenses					
Registered Representatives' Compensation (Part II Only) 2/	\$ 27,388.6	\$ 28,578.2	\$ 29,973.4	31,712.5	\$ 36,606.7
Other Employee Compensation and Benefits	43,508.7	44,800.5	50,018.6	53,771.0	63,151.3
Compensation to Partners and Voting Stockholder Officers	3,973.9	4,058.2	3,488.2	3,329.9	3,623.8
Commissions and Clearance Paid to Other Brokers	15,003.9	16,293.2	17,374.6	18,645.3	21,980.5
Interest Expenses	56,401.6	44,443.9	59,726.0	140,239.9	226,146.5
Regulatory Fees and Expenses	1,383.0	1,515.0	1,670.2	1,787.7	1,906.3
All Other Expenses 2/	58,889.2	53,611.5	57,489.7	61,830.8	66,481.3
Total Expenses	\$ 206,549.0	\$ 193,300.6	\$ 219,740.7	311,317.0	\$ 419,896.5
Income and Profitability					
Pre-tax Income	\$ 15,262.0	\$ 25,655.4	\$ 23,188.9	\$ 21,184.1	\$ 38,567.2
Pre-tax Profit Margin	6.9%	11.7%	9.5%	6.4%	8.4%
Pre-tax Return on Equity	10.7%	17.6%	15.0%	13.1%	22.1%
Assets, Liabilities and Capital					
Total Assets	\$3,261,465.3	\$3,980,376.8	\$4,830,925.7	\$5,215,073.0	\$6,221,520.8
Liabilities					
(a) Unsubordinated Liabilities	3,050,039.2	3,754,978.7	4,584,567.8	4,952,054.3	5,930,650.0
(b) Subordinated Liabilities	69,434.0	75,929.5	86,665.6	98,912.6	106,241.0
(c) Total Liabilities	\$3,119,473.0	\$3,830,908.2	\$4,671,233.4	\$5,050,966.9	\$6,036,891.0
Ownership Equity	\$ 141,992.5	\$ 149,468.6	\$ 159,692.3	\$ 164,106.1	\$ 184,629.7
Number of Firms	6,768	6,565	6,284	6,016	5,808

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
2002 - 2006 1/
(\$ in Millions)

	2002	2003	2004	2005	2006
<u>Revenues</u>					
Securities Commissions	\$ 44,212.2	\$ 44,868.3	\$ 46,811.5	\$ 46,246.4	\$ 49,159.8
Gains (Losses) in Trading and Investment Accounts	20,090.4	33,747.9	26,045.4	25,931.9	48,217.5
Profits (Losses) from Underwriting and Selling Groups	14,697.5	17,163.1	19,099.0	19,879.2	23,627.9
Margin Interest	6,383.1	5,252.9	6,924.4	13,246.0	23,687.7
Revenues from Sale of Investment Company Shares	15,654.9	16,200.1	18,549.9	20,698.9	23,346.0
All Other Revenues	111,994.6	95,559.2	117,602.0	195,297.6	272,325.1
Total Revenues	<u>\$213,032.7</u>	<u>\$212,791.5</u>	<u>\$235,032.3</u>	<u>\$321,300.0</u>	<u>\$440,364.0</u>
<u>Expenses</u>					
Registered Representatives' Compensation (Part II only) 2/	\$ 27,380.5	\$ 28,567.6	\$ 29,959.0	\$31,711.6	\$ 36,604.7
Other Employee Compensation and Benefits	42,398.2	43,885.8	49,178.7	52,908.1	62,146.3
Compensation to Partners and Voting Stockholder Officers	3,759.8	3,855.3	3,319.3	3,165.1	3,449.7
Commissions and Clearance Paid to Other Brokers	14,414.5	15,803.2	16,909.9	18,258.9	21,479.0
Interest Expenses	55,180.0	43,315.8	57,913.6	136,122.4	217,923.2
Regulatory Fees and Expenses	1,208.5	1,280.5	1,464.3	1,557.0	1,632.3
All Other Expenses 2/	56,984.7	51,722.7	55,466.3	59,963.3	63,809.1
Total Expenses	<u>\$201,326.3</u>	<u>\$188,430.8</u>	<u>\$214,211.0</u>	<u>\$303,686.4</u>	<u>\$407,044.2</u>
<u>Income and Profitability</u>					
Pre-tax Income	\$ 11,706.4	\$ 24,360.7	\$ 20,821.3	\$17,613.6	\$ 33,319.8
Pre-tax Profit Margin	5.5%	11.4%	8.9%	5.5%	7.6%
Pre-tax Return on Equity	9.2%	18.8%	14.9%	12.0%	21.3%
Number of Firms	5,394	5,301	5,231	5,143	5,077

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, 2002 - 2006 1/
(\$ in Millions)

	2002	2003	2004	2005	2006
<u>Assets</u>					
Cash	\$ 47,710.9	\$ 50,219.2	\$ 64,996.5	\$ 59,502.8	\$ 85,695.8
Receivables from Other Broker-dealers	1,032,041.5	1,414,127.2	1,792,465.9	1,941,595.2	2,465,769.3
Receivables from Customers	132,739.7	163,107.2	214,374.0	202,277.2	252,147.2
Receivables from Non-customers	14,237.2	18,124.0	44,085.5	28,989.0	37,937.7
Long Positions in Securities and Commodities	789,608.2	1,004,562.4	1,071,660.1	1,184,107.5	1,383,270.8
Securities and Investments not Readily Marketable	9,729.6	11,516.8	13,489.6	14,696.7	19,615.7
Securities Purchased Under Agreements to Resell (Part II only) 2/	951,803.1	966,629.5	1,189,010.4	1,288,647.4	1,342,498.3
Exchange Membership	684.5	675.2	666.5	769.3	312.1
Other Assets 2/	135,646.5	154,872.6	213,735.9	249,177.4	320,858.9
Total Assets	\$3,114,201.2	\$3,783,834.1	\$4,604,484.3	\$4,969,762.5	\$5,908,105.6
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 51,369.7	\$ 74,199.5	\$ 90,173.4	\$ 97,655.4	\$ 104,855.4
Payables to Other Broker-dealers	466,809.3	742,116.9	1,033,641.6	1,018,199.3	1,222,095.1
Payables to Non-customers	60,817.5	66,146.9	63,782.6	67,301.4	102,941.8
Payables to Customers	349,781.6	407,244.9	510,339.9	508,372.3	560,712.9
Short Positions in Securities and Commodities	345,113.0	439,384.4	504,689.8	487,003.6	558,532.3
Securities Sold Under Repurchase Agreements (Part II only) 2/	1,405,679.3	1,564,762.4	1,801,674.5	2,124,355.6	2,579,075.1
Other Non-subordinated Liabilities 2/	242,125.0	280,547.5	370,991.2	421,882.5	510,191.8
Subordinated Liabilities	67,966.9	74,285.9	84,628.1	96,871.1	104,311.0
Total Liabilities	\$2,989,662.2	\$3,648,688.4	\$4,459,921.2	\$4,821,641.1	\$5,742,715.4
Equity Capital	\$ 124,539.0	\$ 135,145.7	\$ 144,563.1	\$ 148,121.4	\$ 165,390.2
Number of firms	5,394	5,301	5,231	5,143	5,077

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)

	2005		2006		Percent Change 2004-2005
	Dollars	Percent of Total Revenues	Dollars	Percent of Total Revenues	
<u>Revenues</u>					
Securities Commissions	\$ 32,136.5	11.9%	\$ 34,740.1	9.1%	8.1%
Gains (Losses) in Trading and Investment Accounts	22,757.2	8.4	42,245.9	11.1	85.6
Profits (Losses) from Under- writing and Selling Groups	18,431.6	6.8	22,093.3	5.8	19.9
Margin Interest	13,246.0	4.9	23,687.7	6.2	78.8
Revenues from Sale of Invest- ment Company Shares	10,502.3	3.9	12,241.8	3.2	16.6
Miscellaneous Fees	17,889.9	6.6	21,052.7	5.5	17.7
Revenues from Research	137.4	0.1	212.5	0.1	54.7
Commodities Revenues	1,791.5	0.7	964.7	0.3	-46.2
All Other Revenues	153,702.0	56.8	224,249.3	58.8	45.9
Total Revenues	\$270,594.4	100.0%	\$381,488.0	100.0%	41.0%
<u>Expenses</u>					
Registered Representatives' Compensation	\$ 31,711.6	11.7%	\$ 36,604.7	9.6%	15.4%
Other Employee Compensation and Benefits	39,297.1	14.5	46,937.7	12.3	19.4
Compensation to Partners and Voting Stockholder Officers	996.3	0.4	1,026.9	0.3	3.1
Commissions and Clearance Paid to Other Brokers	7,261.9	2.7	9,597.9	2.5	32.2
Communications	4,993.7	1.8	5,555.5	1.5	11.3
Occupancy and Equipment Costs	6,327.1	2.3	6,426.3	1.7	1.6
Data Processing Costs	3,492.8	1.3	3,722.1	1.0	6.6
Interest Expenses	135,534.1	50.1	217,163.4	56.9	60.2
Regulatory Fees and Expenses	1,304.6	0.5	1,352.5	0.4	3.7
Losses in Error Accounts and Bad Debts	369.4	0.1	403.4	0.1	9.2
All Other Expenses	25,693.4	9.5	26,029.6	6.8	1.3
Total Expenses	\$256,982.0	95.0%	\$354,820.0	93.0%	38.1%
<u>Income and Profitability</u>					
Pre-tax Income	\$ 13,612.4	5.0%	\$ 26,668.0	7.0%	95.9%
Pre-tax Profit Margin	5.0%		7.0%		
Pre-tax Return on Equity	11.3%		20.3%		
Number of Firms	570		550		

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)

	2005		2006		Percent Change 2005-2006
	Dollars	Percent of Total Assets	Dollars	Percent of Total Assets	
<u>Assets</u>					
Cash	\$ 55,318.4	1.1%	\$ 81,461.2	1.4%	47.3%
Receivables from Other Broker-dealers	1,928,910.3	39.7%	2,451,951.2	42.1	27.1
(a) Securities Failed to Deliver	26,380.1	0.5%	44,726.5	0.8	69.5
(b) Securities Borrowed	1,825,816.7	37.6	2,313,808.9	39.7	26.7
(c) Other	76,713.6	1.6	93,415.8	1.6	21.8
Receivables from Customers	202,277.2	4.2	252,147.2	4.3	24.7
Receivables from Non-customers	27,820.5	0.6	36,798.2	0.6	32.3
Long Positions in Securities and Commodities	1,131,083.2	23.3	1,330,128.7	22.8	17.6
(a) Bankers Acceptances, Certificates of Deposit and Commercial Paper	59,787.9	1.2%	68,607.3	1.2	14.8
(b) U.S. and Canadian Government Obligations	503,648.1	10.4%	592,977.1	10.2	17.7
(c) State and Municipal Government Obligations	42,727.3	0.9%	50,605.4	0.9	18.4
(d) Corporate Obligations	300,800.0	6.2%	341,789.4	5.9	13.6
(e) Stocks and Warrants	150,201.3	3.1%	185,705.5	3.2	23.6
(f) Options	22,414.1	0.5%	24,271.4	0.4	8.3
(g) Arbitrage	27,666.7	0.6%	27,350.4	0.5	-1.1
(h) Other Securities	24,040.4	0.5%	38,909.5	0.7	61.9
(i) Spot Commodities	0.8	0.0%	73.9	0.0	9137.5
Securities and Investments Not Readily Marketable	13,898.0	0.3%	18,796.1	0.3	35.2
Securities Purchased Under Agreements to Resell	1,288,647.4	26.5%	1,342,498.3	23.1	4.2
Exchange Membership	677.5	0.0%	304.4	0.0	-55.1
Other Assets	210,582.0	4.3%	308,159.9	5.3	46.3
Total Assets	\$4,859,214.6	100.0%	\$5,822,245.1	100.0%	19.8%
<u>Liabilities and Equity Capital</u>					
Bank Loans Payable	\$ 85,420.1	1.8%	\$ 93,871.2	1.6%	9.9%
Payables to Other Broker-dealers	1,002,262.2	20.6%	1,202,872.0	20.7	20.0
(a) Securities Failed to Receive	31,738.2	0.7%	53,379.9	0.9	68.2
(b) Securities Loaned	917,112.6	18.9%	1,092,474.4	18.8	19.1
(c) Other	53,411.4	1.1%	57,017.7	1.0	6.8
Payables to Non-customers	65,682.9	1.4%	102,064.8	1.8	55.4
Payables to Customers	508,372.3	10.5%	560,712.9	9.6	10.3
Short Positions in Securities and Commodities	470,114.8	9.7%	540,380.2	9.3	14.9
Securities Sold Under Repurchase Agreements	2,124,355.6	43.7%	2,579,075.1	44.3	21.4
Other Non-subordinated Liabilities	384,482.8	7.9%	503,242.1	8.6	30.9
Subordinated Liabilities	93,973.2	1.9%	101,507.1	1.7	8.0
Total Liabilities	\$4,734,663.8	97.4%	\$5,683,725.4	97.6%	20.0%
Equity Capital	\$ 124,550.8	2.6%	\$ 138,519.6	2.4%	11.2%
Number of Firms	570		550		

Figures may not add due to rounding.

1/ Calendar, rather than fiscal, year data is reported in this table.

Note: Includes information for firms doing a public business that carry customer accounts or clear securities transactions.

Source: FOCUS Report

Table 12
TRANSACTION ACTIVITY IN EQUITIES, OPTIONS, AND SECURITY FUTURES

Year	Market Value of Sales (Millions)				Security Futures Trading ^{1/}
	Total	Equity Trading	Option Trading	Option Exercises and Futures Deliveries	
1990	\$2,229,226	\$2,153,676	\$27,219	\$48,331	
1991	\$2,666,702	\$2,590,422	\$27,104	\$49,177	
1992	\$3,148,024	\$3,077,507	\$26,586	\$43,931	
1993	\$4,261,937	\$4,179,743	\$33,779	\$48,415	
1994	\$4,591,283	\$4,501,577	\$35,883	\$53,823	
1995	\$6,321,475	\$6,207,746	\$50,803	\$62,926	
1996	\$8,266,339	\$8,123,748	\$67,862	\$74,729	
1997	\$11,692,830	\$11,487,872	\$104,535	\$100,422	
1998	\$15,164,183	\$14,903,153	\$140,261	\$120,769	
1999	\$23,218,783	\$22,813,331	\$260,294	\$145,159	
2000	\$36,275,278	\$35,557,087	\$485,106	\$233,085	
2001	\$26,138,050	\$25,636,203	\$277,549	\$224,298	
2002	\$23,028,157	\$22,657,944	\$161,278	\$208,935	307,169
2003	\$22,737,469	\$22,291,534	\$164,085	\$281,851	2,501,247
2004	\$27,875,851	\$27,158,223	\$222,962	\$494,666	2,175,093
2005	\$34,567,253	\$33,222,357	\$350,365	\$994,531	5,493,850
2006	\$43,938,686	\$41,795,886	\$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
FINRA	\$15,436,174	\$15,436,174	\$0	\$0	0
ISE	\$524,614	\$24	\$131,796	\$392,794	0
NASDAQ	\$2,390,330	\$2,390,330	\$0	\$0	0
NSX	\$467,830	\$467,830	\$0	\$0	0
NYSE	\$16,310,889	\$16,310,889	\$0	\$0	0
NYSE ARCA, Inc.	\$6,511,816	\$6,047,277	\$112,464	\$352,075	0
OneChicago	\$24,508	\$0	\$0	\$24,508	7,788,837
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.

^{1/}This is the number of round turn contracts, or one purchase and one sale of a contract for future delivery. Security futures began trading in November 2002.

Sources: Form R31 for October 2003 and later months. For September 2003 and earlier months, submissions to the SEC by national securities exchanges, the NASD, and the OCC, and various issues of the Nasdaq Factbook.