

SELECT SEC AND MARKET DATA FISCAL 2007

Table of Contents

Enforcement Milestones	2
Enforcement Action Summary by Primary Classification.....	3
Fiscal 2007 Enforcement Cases by Program Area	4
Investigations of Possible Violations of the Acts Administered by the Commission	22
Right to Financial Privacy.....	22
SEC Total Investor Contacts by Fiscal Year	23
Ten Most Common Complaints During Fiscal 2007.....	24
Unconsolidated Financial Information for Broker-Dealers	25
Unconsolidated Annual Revenues and Expenses for Broker-Dealers Doing a Public Business.....	26
Unconsolidated Balance Sheet for Broker-Dealers Doing a Public Business	27
Unconsolidated Revenues and Expenses for Carrying/Clearing Broker-Dealers	28
Unconsolidated Balance Sheet for Carrying/Clearing Broker-Dealers	29
Transaction Activity in Equities, Options and Security Futures	30

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 2
**FISCAL 2007 ENFORCEMENT ACTION SUMMARY
 BY PRIMARY CLASSIFICATION**

(Each action initiated has been included in only one category listed below, even though many actions involved multiple allegations and may fall under more than one category. The number of defendants and respondents is noted parenthetically.)

Primary Classification	Civil Actions		Administrative Proceedings		Total		% of Total Actions
Issuer Reporting and Disclosure	113	(231)	106	(123)	219	(354)	33%
Broker-Dealer	10	(63)	79	(116)	89	(179)	14%
Investment Adviser	15	(53)	57	(82)	72	(135)	11%
Securities Offering	43	(240)	25	(28)	68	(268)	10%
Delinquent Filing	0	(0)	53	(184)	53	(184)	8%
Insider Trading	37	(100)	10	(10)	47	(110)	7%
Market Manipulation	27	(85)	9	(9)	36	(94)	5%
Civil Contempt	12	(16)	0	(0)	12	(16)	2%
Municipal Offering	1	(6)	4	(4)	5	(10)	1%
Self-Regulatory Organization	1	(1)	3	(4)	4	(5)	1%
Investment Company	0	(0)	7	(14)	7	(14)	1%
Miscellaneous	3	(9)	41	(71)	44	(80)	7%
TOTALS	262	(804)	394	(645)	656	(1449)	100%

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
SEC v. Suzanne Brown	LR-19961	01/08/2007
In the Matter of Glenn E. Glasshagel	AAER-2541	01/12/2007
In the Matter of Lattice Semiconductor Corp.	AAER-2540	01/12/2007
In the Matter of Charles R. Eisenstein	AAER-2539	01/12/2007
SEC v. James Charles Blue, et al.	LR-19969	01/16/2007
In the Matter of Douglas Wachtel, CPA	AAER-2543	01/19/2007
SEC v. John Crowder	AAER-2544	01/22/2007
SEC v. Chris Jakubek	AAER-2544	01/22/2007
SEC v. John King	AAER-2544	01/22/2007
SEC v. Steve LeBarron	AAER-2544	01/22/2007
SEC v. Patrick Penderghast	AAER-2544	01/22/2007
SEC v. Frank Riggio	AAER-2544	01/22/2007
SEC v. Richard Vecchia	AAER-2544	01/22/2007
SEC v. Carl A. Allen	AAER-2544	01/22/2007
SEC v. Gary Bell, et al.	AAER-2544	01/22/2007
SEC v. Donald Childers	AAER-2544	01/22/2007
In the Matter of Suzanne Brown, CPA	AAER-2545	01/23/2007
SEC v. MBIA Inc.	AAER-2547	01/29/2007
In the Matter of MBIA Inc.	AAER-2548	01/29/2007
In the Matter of William F. Sorin, Esq.	AAER-2549	01/30/2007
SEC v. Anthony L. Hurley	LR-19986	02/01/2007

Name of Case	Release No.	Date Filed
SEC v. Gary C. Gerhardt	AAER-2551	02/06/2007
SEC v. Steven J. Landmann	AAER-2551	02/06/2007
SEC v. RenaissanceRe Holdings Ltd.	AAER-2550	02/06/2007
SEC v. Gary M. Workman	LR-19993	02/07/2007
SEC v. El Paso Corporation	LR-19991	02/07/2007
SEC v. Gayle Spence Luacaw	LR-20114	02/08/2007
SEC v. Enrique (Henry) Fiallo	AAER-2553	02/08/2007
SEC v. Piyush G. Patel et al.	AAER-2556	02/09/2007
In the Matter of The Dow Chemical Company	AAER-2555	02/13/2007
SEC v. The Dow Chemical Company	AAER-2554	02/13/2007
SEC v. Ryan Ashley Brant	AAER-2557	02/14/2007
In the Matter of Richard A. Causey, CPA	AAER-2560	02/16/2007
SEC v. Veritas Software Corporation	AAER-2562	02/20/2007
In the Matter of Anthony L. Hurley	AAER-2564	02/21/2007
In the Matter of Robert A. Ness, Jr.	AAER-2566	02/27/2007
SEC v. Kent H. Roberts	AAER-2567	02/28/2007
In the Matter of David C. Kirkpatrick	AAER-2569	03/02/2007
In the Matter of John Paul Orr	AAER-2570	03/02/2007
SEC v. Charles Michael Martin	AAER-2572	03/06/2007
In the Matter of Northwestern Corporation	AAER-2573	03/07/2007
In the Matter of C. Burt Duren (CPA)	AAER-2575	03/09/2007
In the Matter of Steven J. Landmann	AAER-2574	03/09/2007
SEC v. Frank A. Dunn, et al.	AAER-2676	03/12/2007
SEC v. Franklyn A. Caine	AAER-2577	03/15/2007
SEC v. Edward S. Pliner	AAER-2577	03/15/2007
SEC v. James E. Gray	AAER-2577	03/15/2007
In the Matter of Franklyn A. Caine	AAER-2578	03/15/2007
SEC v. Nicor Inc., et al.	LR-20060	03/23/2007
In the Matter of Ernst & Young LLP	AAER-2580	03/26/2007
SEC v. Jordan H. Mintz, et al.	AAER-2584	03/28/2007
In the Matter of Edward S. Pliner, CPA	AAER-2585	03/28/2007
In the Matter of Atlas Air Worldwide Holdings, Inc.	AAER-2588	03/29/2007
In the Matter of Danny Edward Moudy	AAER-2590	04/02/2007
SEC v. Tenet Healthcare Corp., et al.	AAER-2591	04/02/2007
SEC v. Jimmy Lynn Bradley, et al.	AAER-2592	04/03/2007
In the Matter of Myron F. Olesnyckyj, Esq.	AAER-2593	04/05/2007
In the Matter of Lindsey P. Vinson	AAER-2594	04/09/2007
In the Matter of Jimmy Lynn Bradley (CPA)	AAER-2595	04/12/2007
In the Matter of Lesley Don Cole (CPA)	AAER-2596	04/12/2007
SEC v. Nancy R. Heinen, et al.	LR-20086	04/24/2007

Name of Case	Release No.	Date Filed
SEC v. Richard R. Hylland	AAER-2601	04/25/2007
SEC v. Merle D. Lewis	AAER-2601	04/25/2007
SEC v. Kipp D. Orme	AAER-2601	04/25/2007
SEC v. Kurt D. Whitesel	AAER-2601	04/25/2007
SEC v. Baker Hughes Incorporated, et al.	AAER-2602	04/26/2007
SEC v. Capitol Distributing, LLC, et al.	AAER-2604	05/02/2007
In the Matter of Terry M. Phillips	AAER-2605	05/02/2007
In the Matter of Motorola, Inc.	AAER-2607	05/08/2007
SEC v. The BISYS Group, Inc.	AAER-2611	05/23/2007
In the Matter of Hewlett-Packard Company	34-55801	05/23/2007
SEC v. Mercury Interactive, LLC, et al.	LR-20136	05/31/2007
SEC v. Brocade Communications Systems, Inc.	LR-20137	05/31/2007
In the Matter of Robin R. Szeliga (CPA)	AAER-2613	06/01/2007
SEC v. Michael J. Snyder	LR-20146	06/04/2007
In the Matter of International Business Machines Corporation	AAER-2616	06/05/2007
In the Matter of Chris G. Gunderson	34-56396	06/06/2007
In the Matter of Raymond L. Mathiasen, CPA	AAER-2615	06/08/2007
SEC v. Tom Shanahan, et al.	AAER-2617	06/15/2007
SEC v. Jeffrey McMahon	AAER-2619	06/20/2007
In the Matter of Allied Capital Corporation	AAER-2618	06/20/2007
In the Matter of Cambrex Corporation	AAER-2620	06/20/2007
SEC v. Rob Roy J. Graham	AAER-2621	06/22/2007
SEC v. Steven Forman, et al.	AAER-2622	06/22/2007
SEC v. Kevin B. Collins	AAER-2624	06/25/2007
In the Matter of International Business Machines Corporation	AAER-2623	06/25/2007
SEC v. Michael W. Sulfridge	AAER-2625	06/28/2007
In the Matter of CVS Caremark Corp., et al.	3-12673	06/29/2007
SEC v. Philip C. Galbo, et al.	LR-20175	06/29/2007
SEC v. James P. O'Donnell, et al.	AAER-2629	06/29/2007
SEC v. Kenneth W. DiFonzo	AAER-2629	06/29/2007
In the Matter of Dwight J. Goslee, et al.	AAER-2628	06/29/2007
SEC v. Dwight J. Goslee, et al.	AAER-2629	06/29/2007
SEC v. Si Chan Wooh	LR-20174	06/29/2007
SEC v. Mark Leslie, et al.	AAER-2631	07/02/2007
SEC v. Michael F. Shanahan, Sr., et al.	AAER-2633	07/12/2007
SEC v. Tasty Fries, Inc., et al.	LR-20194	07/12/2007
In the Matter of Paul Kearney	AAER-2635	07/13/2007
In the Matter of Richard R. Hylland, CPA	AAER-2638	07/16/2007
In the Matter of Kipp D. Orme, CPA	AAER-2636	07/16/2007
In the Matter of Kurt D. Whitesel, CPA	AAER-2637	07/16/2007

Name of Case	Release No.	Date Filed
In the Matter of Jay D. Bolding (CPA)	AAER-2640	07/17/2007
SEC v. Lorine Sweeney, et al.	AAER-2641	07/17/2007
SEC v. Ilona Kay Collins	AAER-2641	07/17/2007
SEC v. David Eric Nesvisky	AAER-2641	07/17/2007
SEC v. Robert Allen Diehl	AAER-2641	07/17/2007
SEC v. Madhavan Sivathanu Pillai	AAER-2641	07/17/2007
In the Matter of Quovadx, Inc.	AAER-2644	07/17/2007
In the Matter of Ronald Renjilian	AAER-2645	07/17/2007
In the Matter of Paul Anthony Davis	AAER-2639	07/17/2007
In the Matter of Jeffrey McMahon, CPA	AAER-2646	07/18/2007
SEC v. James M. Materna, et al.	AAER-2642	07/18/2007
In the Matter of OM Group, Inc.	AAER-2643	07/18/2007
SEC v. David C. Drummond, et al.	AAER-2649	07/19/2007
SEC v. Patrick T. Chew	AAER-2649	07/19/2007
In the Matter of David C. Drummond, et al.	AAER-2648	07/19/2007
In the Matter of Ernst & Young Chartered Accountants, et al.	AAER-2647	07/19/2007
SEC v. Richard E. Fresia	AAER-2650	07/24/2007
SEC v. John C. Charters	AAER-2650	07/24/2007
SEC v. ConAgra Foods, Inc.	LR-20206	07/24/2007
In the Matter of Ayal Rosenthal, CPA	AAER-2651	07/24/2007
SEC v. Delta & Pine Land Company, et al.	LR-20214	07/25/2007
SEC v. Kenneth L. Schroeder	LR-20207	07/25/2007
SEC v. KLA-Tencor Corp.	LR-20207	07/25/2007
In the Matter of Patrick T. Chew, CPA	AAER-2656	07/26/2007
SEC v. Robert J. Therrien	AAER-2653	07/26/2007
In the Matter of Anne M. Pember	AAER-2655	07/26/2007
SEC v. Cardinal Health, Inc.	AAER-2654	07/26/2007
In the Matter of Delta & Pine Land Company, et al.	AAER-2658	07/26/2007
In the Matter of Aspen Technology, Inc.	AAER-2660	07/31/2007
SEC v. Carole D. Argo	AAER-2662	08/01/2007
SEC v. Integrated Silicon Solution, Inc., et al.	AAER-2661	08/01/2007
SEC v. David E. Tether	LR-20226	08/06/2007
SEC v. First BanCorp.	AAER-2664	08/07/2007
SEC v. Thomas Fisher, et al.	AAER-2666	08/09/2007
In the Matter of Jerry Kent Castleman, CPA	AAER-2667	08/09/2007
SEC v. Michael J. Byrd	LR-20247	08/17/2007
In the Matter of Kenneth W. DiFonzo, CPA	AAER-2669	08/22/2007
SEC v. Textron Inc.	LR-20251	08/23/2007
SEC v. Lisa C. Berry	LR-20257	08/28/2007
SEC v. Juniper Networks, Inc.	LR-20257	08/28/2007

Name of Case	Release No.	Date Filed
In the Matter of Ilona Kay Collins	AAER-2670	08/29/2007
SEC v. Integrated Electrical Services, Inc., et al.	AAER-2673	08/30/2007
In the Matter of David A. Miller, CPA	AAER-2672	08/30/2007
SEC v. Saks Incorporated	AAER-2674	09/05/2007
In the Matter of Dean A. Nichols (CPA)	AAER-2675	09/06/2007
SEC v. Brian E. Haylor	LR-20279	09/12/2007
In the Matter of David Heyman, CPA	AAER-2677	09/12/2007
In the Matter of Ferro Corporation, et al.	AAER-2717	09/13/2007
In the Matter of Richard E. Sellers, CPA, et al.	AAER-2716	09/13/2007
In the Matter of Barry M. Budilov, CPA	AAER-2718	09/14/2007
SEC v. Linda Jones, et al.	AAER-2719	09/17/2007
In the Matter of Press C. Southworth, CPA	34-56470	09/19/2007
In the Matter of Robert M. Harbrecht, CPA, et al.	34-56469	09/19/2007
In the Matter of Paul R. Venesky, CPA	AAER-2722	09/20/2007
In the Matter of John R. Holtzhauser, CPA	AAER-2723	09/20/2007
In the Matter of James M. Materna, CPA	AAER-2724	09/20/2007
SEC v. Diatetect International Corp., et al.	NONE	09/24/2007
SEC v. Chandramowli Srinivasan	AAER-2726	09/25/2007
In the Matter of Electronic Data Systems Corp.	AAER-2725	09/25/2007
In the Matter of C.R. Williams, Inc., et al.	IA-2660	09/26/2007
In the Matter of Bristow Group, Inc.	AAER-2727	09/26/2007
In the Matter of Immucor, Inc., et al.	34-56558	09/27/2007
In the Matter of Intervoice, Inc.	33-8849	09/27/2007
In the Matter of Hor Chong (David) Boey, CPA	AAER-2731	09/27/2007
In the Matter of Bruce D. Kay, CPA	AAER-2733	09/27/2007
In the Matter of Robert J. Gagalis, CPA	AAER-2732	09/27/2007
In the Matter of Tidewater Inc., et al.	AAER-2730	09/27/2007
SEC v. Federal Home Loan Mortgage Corp., et al.	AAER-2728	09/27/2007
In the Matter of Robert C. Dean	33-8850	09/27/2007
SEC v. Gioacchino De Chirico	LR-20316	09/28/2007
SEC v. Buca, Inc.	LR-20312	09/28/2007
SEC v. Robert D. Doty, Jr.	AAER-2739	09/28/2007
In the Matter of Robert D. Doty, Jr.	AAER-2736	09/28/2007
In the Matter of Jamie Olis, CPA	AAER-2738	09/28/2007
In the Matter of Gene S. Foster	AAER-2737	09/28/2007
In the Matter of Helen C. Sharkey, CPA	AAER-2735	09/28/2007
SEC v. Monty Fu, CA	LR-20310	09/28/2007
SEC v. Meridian Holdings, Inc., et al.	LR-20318	09/28/2007
SEC v. Collins & Aikman Corp., et al.	AAER-2581	03/26/2007
SEC v. Myron F. Olesnyckyj	AAER-2583	02/15/2007

Name of Case	Release No.	Date Filed
Market Manipulation		
SEC v. Conversion Solutions Holdings Corp., et al.	LR-19883	10/25/2006
SEC v. Solar Group S.A., et al.	LR-19899	11/06/2006
SEC v. Mervin George Fiessel, et al.	LR-19902	11/08/2006
SEC v. World Information Technology, Inc., et al.	LR-20149	11/14/2006
In the Matter of Vincent Napolitano	34-55090	11/29/2006
SEC v. China Energy Savings Technology, Inc., et al.	LR-19933	12/04/2006
In the Matter of Health Enhancement Products, Inc.	33-8758	12/04/2006
In the Matter of Utilitynetcom, Inc.	34-54878	12/06/2006
SEC v. Lindsey P. Vinson, et al.	LR-19937	12/06/2006
SEC v. Howard R. Baer, et al.	LR-19936	12/06/2006
SEC v. Bennett Environmental, Inc., et al.	LR-20009	12/08/2006
SEC v. Grand Logistic, S.A., et al.	LR-19949	12/19/2006
SEC v. Joseph J. Spiegel	LR-19956	01/04/2007
SEC v. Aleksey Kamardin	LR-20190	01/25/2007
SEC v. JSC Parex Bank, et al.	LR-20030	03/06/2007
SEC v. Jaisankar Marimuthu, et al.	LR-20037	03/12/2007
SEC v. Alexis Ampudia	LR-20098	04/05/2007
In the Matter of Joseph Depergola	34-55782	04/10/2007
In the Matter of Christian Nigro	34-55820	04/10/2007
SEC v. Stephen Luskco, et al.	LR-20097	04/27/2007
In the Matter of Amaranth Advisors LLC	34-55728	05/09/2007
SEC v. David Lon Nally	LR-20135	05/31/2007
SEC v. Peter W. Fisher, et al.	LR-20154	06/14/2007
SEC v. GLG Partners, L.P.	LR-20167	06/26/2007
In the Matter of GLG Partners, LP	34-55956	06/26/2007
SEC v. Theodore Roxford a/k/a Lawrence David Niren, et al.	LR-20179	06/29/2007
SEC v. Darrel T. Uselton, et al.	LR-20187	07/09/2007
SEC v. Marc T. Duchesne, et al.	LR-20246	08/16/2007
SEC v. FacePrint Global Solutions, Inc., et al.	LR-20260	08/30/2007
SEC v. Michael Saquella, a/k/a Michael Paloma, et al.	LR-20269	09/06/2007
SEC v. Terax Energy, Inc., et al.	LR-20280	09/12/2007
SEC v. Smart Online, Inc., et al.	LR-20276	09/12/2007
In the Matter of Earl Shawn Casias	34-56447	09/17/2007
SEC v. Swiss Re Financial Products Corp.	LR-20289	09/18/2007
In the Matter of Swiss Re Financial Products Corp.	34-56450	09/18/2007
SEC v. Paul Harary, et al.	LR-20293	09/24/2007

Name of Case	Release No.	Date Filed
Miscellaneous		
In the Matter of Amber Schatz, CPA	AAER-2587	03/29/2007
SEC v. Vencent A. Donlan, et al.	LR-20218	05/03/2007
SEC v. Bert Fingerhut, et al.	LR-20118	05/16/2007
In the Matter of Berger, Apple & Associates, Ltd., et al.	AAER-2680	09/13/2007
In the Matter of Bray & Associates CPA's LLC, et al.	AAER-2682	09/13/2007
In the Matter of Bruce Redlin, CPA	AAER-2683	09/13/2007
In the Matter of Bujan & Associates, Ltd, et al.	AAER-2684	09/13/2007
In the Matter of Charles J. Birnberg, CPA	AAER-2685	09/13/2007
In the Matter of Charles R. Hunt, CPA, et al.	AAER-2686	09/13/2007
In the Matter of Dan Clasby & Company, et al.	AAER-2687	09/13/2007
In the Matter of Darilek, Butler & co., P.C., et al.	AAER-2688	09/13/2007
In the Matter of Forbush & Associates, et al.	AAER-2690	09/13/2007
In the Matter of F.X. Duffy & Co., Inc., et al.	AAER-2691	09/13/2007
In the Matter of Harvey S. Weingard, CPA	AAER-2692	09/13/2007
In the Matter of Henry L. Creel Co., et al.	AAER-2693	09/13/2007
In the Matter of Joseph Mao, CPA	AAER-2696	09/13/2007
In the Matter of McNeal, Williamson & Co., et al.	AAER-2697	09/13/2007
In the Matter of Michael C. Lingerman, CPA	AAER-2698	09/13/2007
In the Matter of Milner and Brock, CPA's et al.	AAER-2699	09/13/2007
In the Matter of Norman Stumacher, CPA	AAER-2700	09/13/2007
In the Matter of Preferred Accounting Services, Inc., et al.	AAER-2701	09/13/2007
In the Matter of Reed & Taylor, CPAs, et al.	AAER-2703	09/13/2007
In the Matter of Sanford H. Feibusch, CPA, PC, et al.	AAER-2704	09/13/2007
In the Matter of United Financial CPA, PC, et al.	AAER-2705	09/13/2007
In the Matter of Carl S. Sanko, CPA	AAER-2708	09/13/2007
In the Matter of Frederick A. Kaden & Co., et al.	AAER-2710	09/13/2007
In the Matter of Halt, Buzas & Powell, Ltd., et al.	AAER-2711	09/13/2007
In the Matter of Schuhalter, Coughlin & Suozzo PC, et al.	AAER-2714	09/13/2007
In the Matter of Story & Company, PC, et al.	AAER-2715	09/13/2007
In the Matter of Andrew M. Smith, CPA	AAER-2678	09/13/2007
In the Matter of Banker & Co, et al.	AAER-2707	09/13/2007
In the Matter of Isaac Gordon, CPA	AAER-2695	09/13/2007
In the Matter of Beutel Accountancy Corp., et al.	AAER-2681	09/13/2007
In the Matter of Michael Deutchman, CPA	AAER-2713	09/13/2007
In the Matter of Choi Dow Ian Hong & Lee Accountancy Corp., et al.	AAER-2709	09/13/2007
In the Matter Randy Simpson, CPA, PC, et al.	AAER-2702	09/13/2007
In the Matter of David M. Winings, CPA, et al.	AAER-2689	09/13/2007

Name of Case	Release No.	Date Filed
In the Matter of William E. Costello, CPA	AAER-2706	09/13/2007
In the Matter of Beckman Kirkland & Whitney, et al.	AAER-2679	09/13/2007
In the Matter of Jay J. Shapiro, CPA, et al.	AAER-2712	09/13/2007
In the Matter of Henry Schiffer, CPA, et al.	AAER-2694	09/13/2007
In the Matter of Forbush & Associates, et al.	AAER-2690	09/13/2007
SEC v. Mark Ristow, et al.	LR-20292	09/24/2007
In the Matter of Trent L. Tucker	33-8846	09/25/2007
Municipal Offering		
In the Matter of Bruce M. Perry	33-8755	11/07/2006
In the Matter of City of San Diego, California	33-8751	11/14/2006
SEC v. ABC Viaticals, Inc., et al.	LR-20035	11/17/2006
In the Matter of Anchor National Life Insurance Co.	33-8852	09/28/2007
In the Matter of CDR Financial Products Inc.	33-8854	09/28/2007
Securities Offering		
SEC v. Salvatore Favata (aka Sam Favata)	LR-19861	10/06/2006
SEC v. Pinnacle Development Partners LLC, et al.	LR-19864	10/11/2006
SEC v. Gari Aldridge, et al.	LR-19877	10/18/2006
In the Matter of Salvatore Favata (aka Sam Favata)	34-54683	11/01/2006
In the Matter of Charles B. Ehrlich	34-54707	11/03/2006
In the Matter of Scott W. Brockop	34-55298	11/22/2006
In the Matter of Larry Webman, et al.	34-55291	12/01/2006
SEC v. International Fiduciary Corp., et al.	LR-20208	12/04/2006
In the Matter of Byron Nernoff	34-55242	02/06/2007
SEC v. Braintree Energy, Inc., et al.	LR-20011	02/20/2007
SEC v. Platinum Capital Advocates, Inc., et al.	LR-20090	02/21/2007
SEC v. Crestview Capital Partners, LLC, et al.	LR-20017	02/26/2007
SEC v. Louis W. Zehil, et al.	LR-20021	02/28/2007
In the Matter of Christopher Bryan	34-55433	03/09/2007
SEC v. Cyberkey Solutions, Inc., et al.	LR-20171	03/20/2007
SEC v. Global Online Direct, Inc., et al.	LR-20183	04/05/2007
SEC v. Novus Technologies, LLC, et al.	LR-20075	04/11/2007
SEC v. Aquacell Batteries, Inc., et al.	LR-20080	04/13/2007
SEC v. Nu Star Holdings, Inc., et al.	LR-20077	04/18/2007
SEC v. Michael R. Bretzel, et al.	LR-20099A	05/02/2007
SEC v. Zahra Ghods, et al.	LR-20111	05/08/2007
In the Matter of Lawrence A. Campbell, et al	33-8851	05/11/2007
In the Matter of Donald J. Lakin	33-8804	05/11/2007
SEC v. Empire Development Group LLC, et al.	LR-20122	05/18/2007

Name of Case	Release No.	Date Filed
In the Matter of James Proffitt	34-55800	05/23/2007
In the Matter of Luis M. Cornide	34-55844	06/01/2007
In the Matter of Robert De La Riva	34-55845	06/01/2007
SEC v. Harold S. Longs, et al.	LR-20140	06/04/2007
In the Matter of Paul E. Knight, et al.	34-55885	06/08/2007
In the Matter of William P. Sauer	34-55948	06/25/2007
In the Matter of Richard E. Wensel	34-56246	06/26/2007
In the Matter of Arthur B. Carlson, III	34-56247	06/26/2007
In the Matter of Gary J. Spirk	34-56248	06/26/2007
SEC v. Amerifirst Funding, Inc., et al.	LR-20236	07/02/2007
SEC v. The Hockey Barn LLC, et al.	LR-20195	07/03/2007
In the Matter of Phil D. Kerley	34-56033	07/09/2007
SEC v. TG Capital, et al.	LR-20189	07/10/2007
SEC v. CEP Holdings, Inc., d/b/a Colonendparenthesis, net., et al.	LR-20191	07/11/2007
SEC v. AOB Commerce, Inc., et al.	LR-20241	07/12/2007
SEC v. Global Finance & Investment, Inc., et al.	LR-20200	07/18/2007
SEC v. Alan D. Libman, a/k/a Damian Vanderhaus	LR-20201	07/18/2007
In the Matter of Robert Casey Hall	34-56118	07/23/2007
SEC v. Phoenixsurf.com, et al.	LR-20205	07/24/2007
SEC v. Global Asset Partners, LLC, et al.	LR-20220	08/01/2007
SEC v. Earthly Mineral Solutions, Inc., et al.	LR-20237	08/09/2007
SEC v. Brian N. Hollnagel, et al.	LR-20254	08/13/2007
SEC v. Inter Global Technologies, Inc., et al.	LR-20244	08/16/2007
In the Matter of Todd Dirobotto	34-56282	08/17/2007
In the Matter of Brain Lee	34-56283	08/17/2007
SEC v. Charles O. Morgan, Jr., et al.	LR-20253	08/23/2007
SEC v. Secure Investment Services, Inc., et al.	LR-20255	08/23/2007
In the Matter of Jonathan Carman	34-56312	08/23/2007
SEC v. James B. Roberts, et al.	LR-20264	08/31/2007
SEC v. Michael E. Kelly, et al.	LR-20267	09/05/2007
SEC v. Homeland Communications Corp., et al.	LR-20271	09/05/2007
SEC v. Real Estate Partners, Inc., et al.	LR-20274	09/06/2007
SEC v. University Lab Technologies, Inc., et al.	LR-20288	09/12/2007
SEC v. Gary M. Milby, et al.	LR-20283	09/13/2007
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

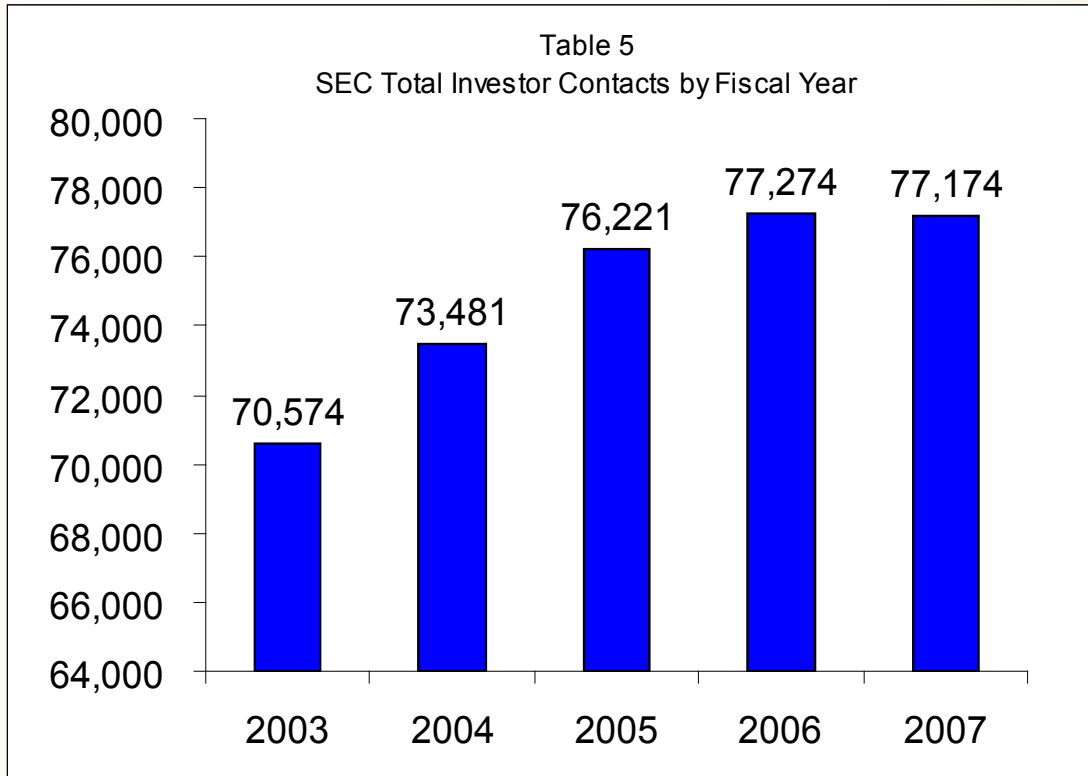


Table 6
TEN MOST COMMON COMPLAINTS

	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
<u>Revenues</u>					
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
<u>Expenses</u>					
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
<u>Income and Profitability</u>					
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%
<u>Assets, Liabilities and Capital</u>					
Total Assets	\$3,261,465.3	\$3,980,376.8	\$4,830,925.7	\$5,215,073.0	\$6,221,520.8
<u>Liabilities</u>					
(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
Assets					
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
Liabilities and Equity Capital					
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 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.