

1353 Travel Report for Securities and Exchange Commission, for the reporting period

SEMIANNUAL REPORT OF PAYMENTS ACCEPTED FROM A NON-FEDERAL SOURCE

PAGE 1 OF PAGES 12 YEAR 2015

This report implements 31 U.S.C. § 1353. It does not supersede other reports that may have to be filed when travel expenses are accepted under other authority. For definitions and policies, see 41 CFR part 304-1.

Securities and Exchange Commission

REPORTING PERIOD: OCTOBER 1, 2014 - MARCH 31, 2015 X

REPORTING PERIOD: APRIL 1, 2015 - SEPTEMBER 30, 2015

NEGATIVE REPORT

Agency Contact: Todd Johnson JohnsonTo@sec.gov

| No. | TRAVELER                 | EVENT DESCRIPTION & EVENT SPONSOR   | EVENT DATE(S) [MM/DD/YYYY-MM/DD/YYYY] | LOCATION/DATES         | BENEFIT SOURCE                    | BENEFIT DESCRIPTION | PAYMENT BY CHECK | PAYMENT IN-KIND | TOTAL AMOUNT |
|-----|--------------------------|-------------------------------------|---------------------------------------|------------------------|-----------------------------------|---------------------|------------------|-----------------|--------------|
| 1   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | BROCKMEYER, KARA N       | FCPA and International Anti-Corrupt | 5/4/2015                              | NEW YORK, NY           | PRACTICING LAW INSTITUTE          | Hotel               |                  |                 | \$0.00       |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$344.00     |
|     | ASSOCIATE DIRECTOR       | PRACTICING LAW INSTITUTE            | 5/4/2015                              | 5/4/2015 - 5/4/2015    |                                   | Meals               |                  |                 | \$0.00       |
| 2   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | COLLINS, KATHLEEN A      | 30TH MIDYEAR SEC REPORTING          | 6/9/2015                              | NEW YORK, NY           | PRACTICING LAW INSTITUTE          | Hotel               |                  | X               | \$369.00     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$425.00     |
|     | SENIOR ACCOUNTANT        | PRACTICING LAW INSTITUTE            | 6/10/2015                             | 6/9/2015 - 6/10/2015   |                                   | Meals               |                  |                 | \$0.00       |
| 3   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | DUDEK, PAUL M            | UPDATE INTERNATIONAL SECUR          | 5/14/2015                             | HONG KONG, CHINA       | PRACTICING LAW INSTITUTE          | Hotel               |                  | X               | \$1,300.00   |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$6,530.20   |
|     | BRANCH CHIEF             | PRACTICING LAW INSTITUTE            | 5/14/2015                             | 5/12/2015 - 5/15/2015  |                                   | Meals               |                  | X               | \$108.00     |
| 4   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | DUDEK, PAUL M            | GLOBAL CAPITAL MARKETS AND          | 5/29/2015                             | NEW YORK, NY           | PRACTICING LAW INSTITUTE          | Hotel               |                  |                 | \$0.00       |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$505.00     |
|     | BRANCH CHIEF             | PRACTICING LAW INSTITUTE            | 5/29/2015                             | 5/28/2015 - 5/29/2015  |                                   | Meals               |                  | X               | \$19.50      |
| 5   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | FLANNERY, MARK J         | UDEL FACULTY DISCUSSION AND         | 5/7/2015                              | NEWARK, DE             | UNIVERSITY OF DELAWARE            | Hotel               |                  |                 | \$0.00       |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$170.00     |
|     | CHIEF ECONOMIST/DIRECTOR | UNIVERSITY OF DELAWARE              | 5/7/2015                              | 5/7/2015 - 5/8/2015    |                                   | Meals               |                  | X               | \$56.00      |
| 6   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | FLANNERY, MARK J         | YALE PROGRAM ON FINANCIAL S         | 8/6/2015                              | NEW HAVEN, CT          | CHOOH CENTER FOR THE STUDY OF     | Hotel               |                  | X               | \$298.00     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$582.24     |
|     | CHIEF ECONOMIST/DIRECTOR | YALE LAW SCHOOL CENTER FOR          | 8/7/2015                              | 8/5/2015 - 8/7/2015    |                                   | Meals               |                  |                 | \$0.00       |
| 7   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | FLANNERY, MARK J         | UF ALUMNI MEETING                   | 8/11/2015                             | NEW YORK, NY           | HOUGH PROGRAM IN FINANCE, UNIV.   | Hotel               |                  |                 | \$0.00       |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$297.00     |
|     | CHIEF ECONOMIST/DIRECTOR | WILLIAM R. HOUGH PROGRAM IN         | 8/11/2015                             | 8/11/2015 - 8/12/2015  |                                   | Meals               |                  |                 | \$0.00       |
| 8   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | FLANNERY, MARK J         | KEY NOTE SPEAKER AT FIRN BA         | 8/17/2015                             | CANBERRA, AUSTRALIA    | AUSTRALIAN NATIONAL UNIVERSITY    | Hotel               |                  | X               | \$737.87     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$1,254.38   |
|     | CHIEF ECONOMIST/DIRECTOR | AUSTRALIAN NATIONAL UNIVERS         | 8/18/2015                             | 8/14/2015 - 8/18/2015  |                                   | Meals               |                  | X               | \$553.40     |
| 9   | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | FRIESTAD, SCOTT W        | RECENT ENFORCEMENT CASES            | 5/12/2015                             | DALLAS, TX             | UNIVERSITY OF TEXAS SCHOOL OF LAW | Hotel               |                  | X               | \$250.00     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$241.70     |
|     | ASSOCIATE DIRECTOR       | THE UNIVERSITY OF TEXAS SCH         | 5/13/2015                             | 5/12/2015 - 5/14/2015  |                                   | Meals               |                  |                 | \$0.00       |
| 10  | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | FRIESTAD, SCOTT W        | RECENT ENFORCEMENT CASES            | 9/28/2015                             | LONDON, UNITED KINGDOM | INVESTOREGULATION                 | Hotel               |                  | X               | \$700.00     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$1,000.00   |
|     | ASSOCIATE DIRECTOR       | INVESTOREGULATION                   | 9/30/2015                             | 9/27/2015 - 9/30/2015  |                                   | Meals               |                  |                 | \$0.00       |
| 11  | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | GERIG, AUSTIN N          | Academic Workshop on High Frequ     | 4/13/2015                             | LOS ANGELES, CA        | UTE FOR PURE AND APPLIED MATHE    | Hotel               |                  | X               | \$833.00     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$720.17     |
|     | FINANCIAL ECONOMIST      | INSTITUTE FOR PURE AND APPL         | 4/17/2015                             | 4/12/2015 - 4/16/2015  |                                   | Meals               |                  |                 | \$0.00       |
| 12  | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | GERIG, AUSTIN N          | Academic Conference on Market M     | 5/14/2015                             | CHICAGO, IL            | UNIVERSITY OF CHICAGO             | Hotel               |                  | X               | \$1,012.59   |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$318.70     |
|     | FINANCIAL ECONOMIST      | UNIVERSITY OF CHICAGO               | 5/16/2015                             | 5/13/2015 - 5/16/2015  |                                   | Meals               |                  |                 | \$0.00       |
| 13  | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | GLOCKNER, DAVID A        | SIXTEENTH ANNUAL INSTITUTE C        | 6/8/2015                              | NEW YORK, NY           | PRACTICING LAW INSTITUTE          | Hotel               |                  | X               | \$339.75     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$376.20     |
|     | DIRECTOR                 | PRACTICING LAW INSTITUTE            | 6/9/2015                              | 6/7/2015 - 6/8/2015    |                                   | Meals               |                  |                 | \$0.00       |
| 14  | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | GOMEZ ABERO, C. S        | 35TH ANNUAL RAY GARRETT CO          | 4/30/2015                             | CHICAGO, IL            | NORTHWESTERN UNIVERSITY           | Hotel               |                  | X               | \$220.00     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$337.88     |
|     | OFFICE CHIEF             | NORTHWESTERN UNIVERSITY             | 5/1/2015                              | 4/30/2015 - 5/1/2015   |                                   | Meals               |                  |                 | \$0.00       |
| 15  | TRAVELER NAME            | EVENT DESCRIPTION                   | BEGINNING DATE                        | LOCATION               | BENEFIT SOURCE                    |                     |                  |                 |              |
|     | GORDON, DANIEL L         | 30TH MIDYEAR SEC REPORTING          | 6/29/2015                             | SAN FRANCISCO, CA      | PRACTICING LAW INSTITUTE          | Hotel               |                  | X               | \$299.00     |
|     | TRAVELER TITLE           | EVENT SPONSOR                       | ENDING DATE                           | TRAVEL DATES           |                                   | Air Transportation  |                  | X               | \$883.20     |
|     | SR ASST CHIEF ACCT       | PRACTICING LAW INSTITUTE            | 6/29/2015                             | 6/28/2015 - 6/30/2015  |                                   | Meals               |                  |                 | \$0.00       |

|    | TRAVELER NAME    | EVENT DESCRIPTION        | BEGINNING DATE | LOCATION              | BENEFIT SOURCE          |                    |  |   |          |
|----|------------------|--------------------------|----------------|-----------------------|-------------------------|--------------------|--|---|----------|
| 16 | HIGGINS, KEITH F | NORTHWESTERN LAW RAY GAR | 4/30/2015      | CHICAGO, IL           | NORTHWESTERN UNIVERSITY | Hotel              |  |   | \$0.00   |
|    | TRAVELER TITLE   | EVENT SPONSOR            | ENDING DATE    | TRAVEL DATES          |                         | Air Transportation |  | X | \$427.02 |
|    | DIRECTOR         | NORTHWESTERN UNIVERSITY  | 4/30/2015      | 4/30/2015 - 4/30/2015 |                         | Meals              |  |   | \$0.00   |

|    | TRAVELER NAME      | EVENT DESCRIPTION          | BEGINNING DATE | LOCATION            | BENEFIT SOURCE                  |                    |  |   |            |
|----|--------------------|----------------------------|----------------|---------------------|---------------------------------|--------------------|--|---|------------|
| 17 | IVANOV, VLADIMIR I | 2ND EUROPEAN WORKSHOP ON   | 6/5/2015       | ROME, ITALY         | NTRE FOR ECONOMIC POLICY RESEAR | Hotel              |  | X | \$400.00   |
|    | TRAVELER TITLE     | EVENT SPONSOR              | ENDING DATE    | TRAVEL DATES        |                                 | Air Transportation |  | X | \$1,500.00 |
|    | SENIOR ECONOMIST   | CENTRE FOR ECONOMIC POLICY | 6/6/2015       | 6/3/2015 - 6/7/2015 |                                 | Meals              |  |   | \$0.00     |

|    | TRAVELER NAME      | EVENT DESCRIPTION            | BEGINNING DATE | LOCATION              | BENEFIT SOURCE                 |                    |  |   |            |
|----|--------------------|------------------------------|----------------|-----------------------|--------------------------------|--------------------|--|---|------------|
| 18 | IVANOV, VLADIMIR I | 2015 ANNUAL CONFERENCE ON    | 9/24/2015      | INCHEON, KOREA        | KOREA CAPITAL MARKET INSTITUTE | Hotel              |  | X | \$708.00   |
|    | TRAVELER TITLE     | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES          |                                | Air Transportation |  | X | \$8,275.00 |
|    | SENIOR ECONOMIST   | KOREA CAPITAL MARKET INSTITT | 9/24/2015      | 9/22/2015 - 9/25/2015 |                                | Meals              |  |   | \$0.00     |

|    | TRAVELER NAME           | EVENT DESCRIPTION            | BEGINNING DATE | LOCATION               | BENEFIT SOURCE                   |                    |  |   |   |            |
|----|-------------------------|------------------------------|----------------|------------------------|----------------------------------|--------------------|--|---|---|------------|
| 19 | JACOBS, BARBARA C       | UNDERSTANDING THE SECURITY   | 7/23/2015      | NEW YORK, NY           | PRACTICING LAW INSTITUTE         | Hotel              |  |   |   | \$0.00     |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$427.00   |
|    | ASSISTANT DIRECTOR      | PRACTICING LAW INSTITUTE     | 7/23/2015      | 7/23/2015 - 7/23/2015  |                                  | Meals              |  |   |   | \$0.00     |
| 20 | KING, DIETRICH A        | SECURITIES AND FILINGS 2015  | 9/3/2015       | NEW YORK, NY           | PRACTICING LAW INSTITUTE         | Hotel              |  |   | X | \$359.00   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$316.00   |
|    | ASSISTANT DIRECTOR      | PRACTICING LAW INSTITUTE     | 9/4/2015       | 9/3/2015 - 9/4/2015    |                                  | Meals              |  |   |   | \$0.00     |
| 21 | LAMOTHE, CICELY L       | 11TH ANNUAL FINANCIAL REPORT | 5/8/2015       | TACOMA, WA             | SCHOOL OF BUSINESS (UNIV. OF WA) | Hotel              |  |   | X | \$729.97   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$484.20   |
|    | ASSISTANT DIRECTOR      | MILGARD SCHOOL OF BUSINESS   | 5/8/2015       | 5/7/2015 - 5/9/2015    |                                  | Meals              |  |   |   | \$0.00     |
| 22 | LEDER, PAUL A           | GLOBAL CAPITAL MARKETS & TH  | 5/29/2015      | NEW YORK, NY           | PRACTICING LAW INSTITUTE         | Hotel              |  |   | X | \$268.00   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  |   |   | \$0.00     |
|    | DIRECTOR                | PRACTICING LAW INSTITUTE     | 5/29/2015      | 5/28/2015 - 5/29/2015  |                                  | Meals              |  | X |   | \$505.00   |
| 23 | LI, SU                  | THE DESIGN AND REGULATION O  | 8/11/2015      | SYDNEY, AUSTRALIA      | OR INTERNATIONAL FINANCE AND RE  | Hotel              |  |   |   | \$0.00     |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$1,491.00 |
|    | FINANCIAL ECONOMIST     | CENTRE FOR INTERNATIONAL FI  | 8/12/2015      | 8/9/2015 - 8/13/2015   |                                  | Meals              |  |   |   | \$0.00     |
| 24 | MEW, ANDREW D           | 30TH MIDYEAR SEC REPORTING   | 5/17/2015      | DALLAS, TX             | PRACTICING LAW INSTITUTE         | Hotel              |  |   | X | \$219.00   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$605.10   |
|    | SR ASST CHIEF ACCT      | PRACTICING LAW INSTITUTE     | 5/18/2015      | 5/17/2015 - 5/18/2015  |                                  | Meals              |  |   |   | \$0.00     |
| 25 | PARRATT, SHELLEY E      | NORTHWESTERN LAW RAY GAR     | 4/30/2015      | CHICAGO, IL            | NORTHWESTERN UNIVERSITY          | Hotel              |  |   | X | \$440.00   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$305.54   |
|    | DEPUTY DIRECTOR         | NORTHWESTERN UNIVERSITY      | 5/1/2015       | 4/29/2015 - 5/1/2015   |                                  | Meals              |  |   |   | \$0.00     |
| 26 | PIWOWAR, MICHAEL S      | THE CATO SUMMIT ON FINANCIA  | 6/2/2015       | NEW YORK, NY           | CATO INSTITUTE                   | Hotel              |  |   | X | \$409.00   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$369.00   |
|    | COMMISSIONER            | CATO INSTITUTE               | 6/2/2015       | 6/1/2015 - 6/3/2015    |                                  | Meals              |  |   |   | \$0.00     |
| 27 | SHAH, NILIMA N          | 18TH ANNUAL SEC REGULATION   | 9/29/2015      | LONDON, UNITED KINGDOM | INVESTOREGULATION                | Hotel              |  |   | X | \$692.00   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$881.09   |
|    | DEPUTY CHIEF ACCOUNTANT | INVESTOREGULATION            | 9/29/2015      | 9/27/2015 - 9/30/2015  |                                  | Meals              |  |   |   | \$0.00     |
| 28 | UYEDA, MARK T           | INTERVIEW AS SEC SECONDEE    | 6/25/2015      | BASEL, SWITZERLAND     | FINANCIAL STABILITY BOARD        | Hotel              |  |   | X | \$463.66   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$2,784.21 |
|    | COUNSEL - COMM. PIWOWAR | FINANCIAL STABILITY BOARD    | 6/25/2015      | 6/23/2015 - 6/26/2015  |                                  | Meals              |  |   |   | \$0.00     |
| 29 | VAUGHN, KEVIN L         | 30TH MIDYEAR SEC REPORTING   | 5/28/2015      | CHICAGO, IL            | PRACTICING LAW INSTITUTE         | Hotel              |  |   | X | \$259.00   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$243.20   |
|    | BRANCH CHIEF            | PRACTICING LAW INSTITUTE     | 5/28/2015      | 5/27/2015 - 5/28/2015  |                                  | Meals              |  | X |   | \$192.00   |
| 30 | WYATT, MAURICE R        | CONFERENCE ON SEC REGULA     | 9/26/2015      | LONDON, UNITED KINGDOM | INVESTOREGULATION                | Hotel              |  |   | X | \$701.16   |
|    | TRAVELER TITLE          | EVENT SPONSOR                | ENDING DATE    | TRAVEL DATES           |                                  | Air Transportation |  | X |   | \$929.51   |
|    | ACTING DIRECTOR         | INVESTOREGULATION            | 10/1/2015      | 9/26/2015 - 10/1/2015  |                                  | Meals              |  |   |   | \$0.00     |