

**SMITH, SEGEL & SOWALSKY**  
COUNSELLORS AT LAW  
50 CONGRESS STREET  
SUITE 600  
BOSTON, MA 02109  
TELEPHONE (617) 523-0600  
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02 MAR 26

February 11, 2002

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Secretary of the Senate  
Office of Public Records  
232 Hart Senate Office Building  
Washington, DC 20510

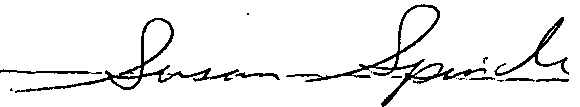
RE: Investment Company Institute, Senate ID# 35742-12

Dear Sir/Madam:

Enclosed please find the Lobbying Report to be filed on behalf of James W. Segel from the firm of Smith, Segel & Sowalsky for lobbying activities under the Federal Regulation of the Lobbying Disclosure Act.

If you have any questions or require additional information, please feel free to call this office. Thank you.

Very truly yours,



Susan Spinale  
Secretary to  
James W. Segel

Enclosure



Clerk of the House of Representatives Legislative Resource Center B-106 Cannon Building Washington, DC 20515	Secretary of the Senate Office of Public Records 232 Hart Building Washington, DC 20510
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## LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required To Complete This Page

1. Registrant Name Smith, Segel & Sowalsky			
2. Address <input type="checkbox"/> Check if different than previously reported 50 Congress Street, Suite 600			
3. Principal Place of Business (if different from line 2) City: Boston State/Zip (or Country) MA 02109			
4. Contact Name James W. Segel	Telephone (617) 523-0600	E-mail (optional) jsegel@sssbos.com	5. Senate ID # 3574
7. Client Name <input type="checkbox"/> Self Investment Company Institute			6. House ID # 3273

**TYPE OF REPORT** 8. Year 2001 Midyear (January 1-June 30)  OR Year End (July 1-Dec

9. Check if this filing amends a previously filed version of this report

10. Check if this is a Termination Report  ⇒ Termination Date 12/31/01 11. No Lobbying

### INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

12. Lobbying Firms	13. Organizations
INCOME relating to lobbying activities for this reporting period was:	EXPENSES relating to lobbying activities for this reporting period were:
Less than \$10,000 <input type="checkbox"/>	Less than \$10,000 <input type="checkbox"/>
\$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>25,000.00</u> Income (nearest \$20,000)	\$10,000 or more <input type="checkbox"/> ⇒ \$ _____ Expenses (nearest \$20,000)
Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).	14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description of
	<input type="checkbox"/> Method A. Reporting amounts using LDA definition
	<input type="checkbox"/> Method B. Reporting amounts under section 6011 Internal Revenue Code
	<input type="checkbox"/> Method C. Reporting amounts under section 162 Internal Revenue Code

Signature

Printed Name and Title

James W. Segel, Partner



Registrant Name Smith, Segel & Sowalsky Client Name Investment Company Institute

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant is engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code FIN (one per page)

16. Specific lobbying issues

Financial Issues

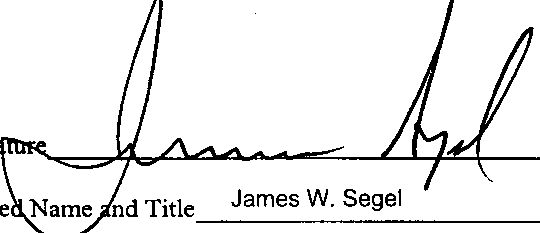
17. House(s) of Congress and Federal agencies contacted  Check if None

Senate and House of Representatives

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
James W. Segel	

19. Interest of each foreign entity in the specific issues listed on line 16 above  Check if None

Signature  Date 2/11/02  
Printed Name and Title James W. Segel



Registrant Name Smith, Segel & Sowalsky Client Name Investment Company Institute

**Information Update Page - Complete ONLY where registration information has changed.**

20. Client new address

21. Client new principal place of business (if different from line 20)

City \_\_\_\_\_ State/Zip (or Country) \_\_\_\_\_

22. New general description of client's business or activities

**LOBBYIST UPDATE**

23. Name of each previously reported individual who is **no longer** expected to act as a lobbyist for the client

**ISSUE UPDATE**

24. General lobbying issues previously reported that **no longer** pertain

**AFFILIATED ORGANIZATIONS**

25. Add the following affiliated organization(s)

Name	Address	Principal Place of Business (city and state or country)

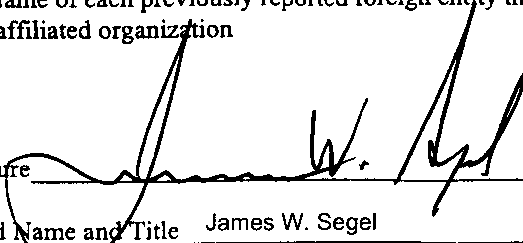
26. Name of each previously reported organization that is **no longer** affiliated with the registrant or client

**FOREIGN ENTITIES**

27. Add the following foreign entities

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities

28. Name of each previously reported foreign entity that **no longer owns, or controls, or is** affiliated with the registrant or affiliated organization

Signature  Date 2/11/02  
 Printed Name and Title James W. Segel

