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SECRETARY OF THE SENATE

03 FEB 24 PM 3:59

LOBBYING REPORT

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

1. Registrant Name American Bankers Association Securities Association			
2. Address <input type="checkbox"/> Check if different than previously reported 1120 Connecticut Avenue, N.W.			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC 20036			
4. Contact Name	Telephone	E-mail (optional)	5. Senate ID
Sarah A. Miller	(202) 663-5325	Smiller@aba.com	
7. Client Name <input type="checkbox"/> Self Sarah A. Miller			6. House ID

TYPE OF REPORT 8. Year 2002 Midyear (January 1-June 30) OR Year End (July 1-9. Check if this filing amends a previously filed version of this report 10. Check if this is a Termination Report ⇒ Termination Date _____ 11. No Lobby**INCOME OR EXPENSES - Complete Either Line 12 OR Line 13**

<p align="center">12. Lobbying Firms</p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> ⇒ \$ _____ Income (nearest \$20,000)</p> <p>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).</p>	<p align="center">13. Organizations</p> <p>EXPENSES relating to lobbying activities for this period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> ⇒ \$ <u>46,000.00</u> Expenses (nearest \$)</p> <p>14. REPORTING METHOD. Check box to indicate accounting method. See instructions for descriptive</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA de</p> <p><input checked="" type="checkbox"/> Method B. Reporting amounts under section Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section Internal Revenue Code</p>
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Signature 

Printed Name and Title

Sarah A. Miller, General Counsel

LD-2 (REV. 6/98)

Registrant Name an Bankers Association Securities Assc Client Name Sarah A. Miller

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 and provide information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

See Attached

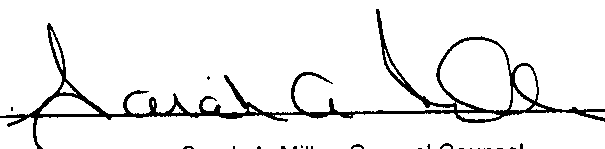
17. House(s) of Congress and Federal agencies contacted Check if None

House of Representatives, Senate, Board of Governors of the Federal Reserve System, Office of the Comptroller of Currency, Federal Deposit Insurance Corporation, Securities and Exchange Commission, Office of Thrift Supervision, Department of Treasury, National Association of Securities Dealers, Municipal Securities Rulemaking Board

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

Name	Covered Official Position (if applicable)
Beth L. Climo	
James D. McLaughlin	
Sarah A. Miller	
J. Kevin A. McKechnie	

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

Signature  Date February 14, 20

Registrant: **American Bankers Association Securities Association**

Attachment to Page 2, LD-2 Report: Year End (July 1 – December 31, 2002)

FIN general issue area code

16. Specific lobbying issues

Implementing regulations for Public Law no.106-102: Gramm-Leach-Bliley Financial Modernization Act of 1999 –:

- a. Title II, Subtitle A – Brokers and Dealers
- b. Title I Section 103 – Merchant Banking

Implementing regulations for Public Law no. 107-56: USA Patriots Act of 2001

- a. Title III – Money Laundering Abatement

H.R. 3762	Pension Security Act (All provisions)
H.R. 3763	Corporate Auditing Accountability, Responsibility and Transparency Act (All provisions)
H.R. 3951	The Financial Services Regulatory Relief Act, Title V Cross Marketing
H.R. 4678	The Consumer Privacy Protection Act, Titles I, II
H.R. 4931	The Retirement Savings Security Act (All provisions)
S. 2673	Public Company Accounting Information and Investor Protection Act (All provisions)
S. 2760	Stock Options Fairness and Accountability Act (All provisions)
S. 2724	Act Amending the Jurisdiction of the Commodity Futures Trading Commission, Section 2 of the Commodity Exchange Act
H.R. 333, S. 420	Bankruptcy Abuse Prevention and Consumer Protection Act of 2001, Title IX
S. 220	Bankruptcy Reform Act of 2001, Title IX

Agencies:

Implementation of Gramm-Leach-Bliley Financial Modernization Act, Pub L. No. 106-102 Titles I, II, V

Registrant Name an Bankers Association Securities Assc Client Name Sarah A. Miller

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

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

16. Specific lobbying issues

See Attached

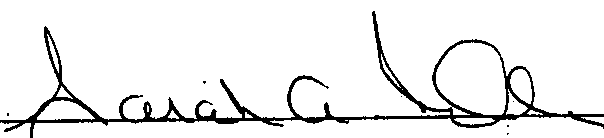
17. House(s) of Congress and Federal agencies contacted Check if None

House of Representatives, Senate

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

Name	Covered Official Position (if applicable)
Beth L. Climo	
James D. McLaughlin	
Sarah A. Miller	
J. Kevin A. McKechnie	

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

Signature  Date February 14, 20

Registrant: **American Bankers Association Securities Association**

Attachment to Page 2, LD-2 Report: Year End (July 1 – December 31, 2002)

RET general issue area code

Legislation:

H.R. 3762 Pension Security Act of 2002, Titles I, II

H.R. 4931 The Retirement Savings Security Act (All provisions)

