

LOBBYING REPORT

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

1. Registrant Name:

DUBERSTEIN GROUP

2. Address:

2100 PENNSYLVANIA AVENUE, NW SUITE 500, WASHINGTON, DC 20037

3. Principal place of business (if different from line 2):

4. Contact Name: MICHAEL S. BERMAN

Telephone: 2027281100

E-mail (optional): mberman@dubersteingroup.com

Senate ID #: 12675-722

House ID #:

7. Client Name: ☐ Self

ALCATEL-LUCENT/FORMERLY LUCENT TECHNOLOGIES

TYPE OF REPORT

8. Year 2006 Midyear (January 1 - June 30): ☐ **OR** Year End (July 1 - December 31): ☒

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 Lobbying Activity: ☐

INCOME OR EXPENSES

Complete Either Line 12 **OR** Line 13

12. Lobbying Firms

INCOME relating to lobbying activities for this reporting period was:

Less than \$10,000: ☐

\$10,000 or more: ☒ => Income (nearest \$20,000): 200,000.00

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).

13. Organizations

EXPENSES relating to lobbying activities for this reporting period were:

Less than \$10,000: ☐

\$10,000 or more: ☐ => Expenses (nearest \$20,000): _____

14. Reporting Method.

Check box to indicate expense accounting method. See instructions for description of options.

- ☐ **Method A.** Reporting amounts using LDA definitions only
☐ **Method B.** Reporting amounts under section 6033(b)(8) of the Internal Revenue Code
☐ **Method C.** Reporting amounts under section 162(e) of the Internal Revenue Code

Registrant Name: DUBERSTEIN GROUP Client Name: ALCATEL-LUCENT/FORMERLY LUCENT
TECHNOLOGIES
LOBBYING ACTIVITY.

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

15. General issue area code: GOV (one per page)

16. Specific lobbying issues:

S 2400, A bill to transfer authority to review certain mergers, acquisitions, and takeovers of United States entities by foreign entities to a designee established within the Department of Homeland Security; S 2766, National Defense Authorization Act for Fiscal Year 2007; S 2507, National Defense Authorization Act for Fiscal Year 2007 CFIUS reform - HR 5337, Reform of National Security Reviews of Foreign Direct Investments Act; HR 5122, Executive Branch Reform Act of 2006; S 3549, Foreign Investment and National Security Act of 2006;

17. House(s) of Congress and Federal agencies contacted:

Commerce, Dept of (DOC)
HOUSE OF REPRESENTATIVES
Homeland Security, Dept of (DHS)
SENATE
State, Dept of (DOS)
Treasury, Dept of
White House Office

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

Name: BERMAN, MICHAEL
Covered Official Position (if applicable): N/A
Name: CHAMPLIN, STEVEN
Covered Official Position (if applicable): N/A
Name: DUBERSTEIN, KENNETH
Covered Official Position (if applicable): N/A
Name: GANDY, HENRY
Covered Official Position (if applicable): N/A
Name: MEYER, DANIEL
Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above.
Lucent Technologies and Alcatel merged on 11/30/2006

Registrant Name: DUBERSTEIN GROUP Client Name: ALCATEL-LUCENT/FORMERLY LUCENT
TECHNOLOGIES

LOBBYING ACTIVITY.

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

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

16. Specific lobbying issues:

Pension reform and Section 420 transfer rules - HR 4, Pension Protection Act of 2006; HR 2830, Pension Protection Act of 2005; S 1783, Pension Security and Transparency Act of 2005

17. House(s) of Congress and Federal agencies contacted:

HOUSE OF REPRESENTATIVES
SENATE

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

Name: BERMAN, MICHAEL

Covered Official Position (if applicable): N/A

Name: CHAMPLIN, STEVEN

Covered Official Position (if applicable): N/A

Name: DUBERSTEIN, KENNETH

Covered Official Position (if applicable): N/A

Name: GANDY, HENRY

Covered Official Position (if applicable): N/A

Name: MEYER, DANIEL

Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above.
Lucent Technologies and Alcatel merged on 11/30/2006

Registrant Name: DUBERSTEIN GROUP Client Name: ALCATEL-LUCENT/FORMERLY LUCENT
TECHNOLOGIES

LOBBYING ACTIVITY.

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

15. General issue area code: TEC (one per page)

16. Specific lobbying issues:

Representing Lucent with respect to an announced proposed merger transaction with Alcatel - Executive actions concerning this issue

17. House(s) of Congress and Federal agencies contacted:

Commerce, Dept of (DOC)
HOUSE OF REPRESENTATIVES
SENATE
State, Dept of (DOS)
Treasury, Dept of
White House Office

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

Name: BERMAN, MICHAEL
Covered Official Position (if applicable): N/A
Name: CHAMPLIN, STEVEN
Covered Official Position (if applicable): N/A
Name: DUBERSTEIN, KENNETH
Covered Official Position (if applicable): N/A
Name: GANDY, HENRY
Covered Official Position (if applicable): N/A
Name: MEYER, DANIEL
Covered Official Position (if applicable): N/A

19. Interest of each foreign entity in the specific issues listed on line 16 above.
Lucent Technologies and Alcatel merged on 11/30/2006.

Signature: ON FILE Date: Feb 09, 2007

Printed Name and Title: MICHAEL S. BERMAN, PRESIDENT -

Information Update Page:

Complete ONLY where registration information has changed.

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 organization(s)

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

28. Name of each previously reported foreign entity the NO LONGER owns, OR controls, OR is affiliated with the registrant, client or affiliated organization

Signature: ON FILE Date: Feb 09, 2007

Printed Name and Title: -