

SECRETARY OF THE SENATE
07 JUL -2 PM 4:

LOBBYING REGISTRATION

Lobbying Disclosure Act of 1995 (Section 4)

Check One: New Registrant New Client for Existing Registrant Amendment

1. Effective Date of Registration 02/

2. House Identification _____

Senate Identification _____

REGISTRANT Organization Individual

3. Registrant Organization Securities Industry and Financial Markets Association

Address 1399 New York Ave., NW Address2 _____
City Washington State DC Zip 20005 - _____ Cou _____

4. Principal place of business (if different than line 3)

City _____ State _____ Zip _____ - _____ Cou _____

5. Contact name and telephone number

International Number

Contact Mr. Alan E. Sorcher Telephone (202) 434-8400 E-mail asorcher@sifma.org

6. General description of registrant's business or activities

Trade Association

CLIENT *A Lobbying Firm is required to file a separate registration for each client. Organizations employing in-house lobbyists should labeled "Self" and proceed to line 10.* Self

7. Client name Securities Industry and Financial Markets Association

Address _____

City _____ State _____ Zip _____ - _____ Cou _____

8. Principal place of business (if different than line 7)

City _____ State _____ Zip _____ - _____ Cou _____

9. General description of client's business or activities

LOBBYISTS

10. Name of each individual who has acted or is expected to act as a lobbyist for the client identified on line 7. If any person in this section has served as a "covered executive branch official" or "covered legislative branch official" within two years of becoming a lobbyist for the client, *state the executive and/or legislative position(s) in which the person served.*

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Scott	DeFife		Senior Policy Advisor to House Majority Leader Ste
Marc	Lackritz		
Richard	Hunt		
Josie	Stors		

LOBBYING ISSUES

11. General lobbying issue areas. Select all applicable codes listed in instructions and on the reverse side of Form LD-1,

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12. Specific lobbying issues (current and anticipated)

S1332 Personal Data Privacy Act, HR2830 Pension Protection Act, HR4473 Commodities Future Trading Reauthorizatio
S3549 Foreign Investment and National Security Act, S467 Terrorism Risk Insurance Extension Act

AFFILIATED ORGANIZATIONS

13. Is there an entity other than the client that contributes more than \$10,000 to the lobbying activities of the registrant in a semiannual period and in whole or in major part plans supervises or controls the registrant's lobbying activities?

No --> Go to line 14. Yes --> Complete the rest of this section for each entity match criteria above, then proceed to line 14.

Name	Address			Principal Place of Busi
	Street City	State/Province	Zip Code Country	
_____	_____	_____	_____	City _____ State _____ Country _____
_____	_____	_____	_____	City _____ State _____ Country _____
_____	_____	_____	_____	City _____ State _____ Country _____

FOREIGN ENTITIES

14. Is there any foreign entity

- a) holds at least 20% equitable ownership in the client or any organization identified on line 13; or
- b) directly or indirectly, in whole or in major part, plans, supervises, controls, directs, finances or subsidizes act the client or any organization identified on line 13; or
- c) is an affiliate of the client or any organization identified on line 13 and has a direct interest in the outcome of lobbying activity?

No --> Sign and date the registration. Yes --> Complete the rest of this section for each entity match the criteria above, then sign the registration.

Name	Address			Principal place of business (city and state or country)	Amount of contribution for lobbying activities
	Street City	State/Province	Country		
_____	_____	_____	_____	City _____ State _____ Country _____	_____
_____	_____	_____	_____	City _____ State _____ Country _____	_____

Signature Digitally Signed By: Alan E Sorcher Date 06/28

Printed Name and Title Alan E. Sorcher, Managing Director and Associate General Counsel

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ADDITIONAL LOBBYISTS

10. Supplemental. List any additional lobbyists for this client not listed on page 1, number 10.

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Shahira	Knight		
John	Anderson		
Patricia	McClanahan		
Elizabeth	Varley		
Margaret	Simmons		
David	Strongin		

ADDITIONAL LOBBYING ISSUES

11. Supplemental. General lobbying issue areas. Enter any additional codes for issues not listed on page 2, number 11.

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AFFILIATED ORGANIZATIONS

13. Is there an entity other than the client that contributes more than \$10,000 to the lobbying activities of the registrant in a semiannual period and in whole or in major part plans supervises or controls the registrant's lobbying activities?

Name	Address	Principal Place of Bu
Street City	State/Province Zip Code Country	City State Country

ADDITIONAL FOREIGN ENTITIES

14. Supplemental. List any other foreign entity that meets the criteria specified and is not listed on page 2, number 14.

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities
Street City	State/Province Country	City State Country	

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ADDITIONAL LOBBYISTS

10. Supplemental. List any additional lobbyists for this client not listed on page 1, number 10.

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Gerard	Quinn		
Kyle	Brandon		
Michael	Decker		
Elizabeth	Rives		

ADDITIONAL LOBBYING ISSUES

11. Supplemental. General lobbying issue areas. Enter any additional codes for issues not listed on page 2, number 11.

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Name	Address			Principal Place of Bu
	Street City	State/Province	Zip Code Country	
				City _____ State _____ Country _____
				City _____ State _____ Country _____
				City _____ State _____ Country _____

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	Street City	State/Province	Country		
				City _____ State _____ Country _____	
				City _____ State _____ Country _____	
				City _____ State _____ Country _____	

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