

Signature _____

Printed Name and Title **Celeste Dembowski - Office Administrator** _____ Pz

Registrant Name: The OB-C Group, LLCClient Name: Investment Company Institute

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 BAN (one per page)

16. Specific Lobbying issues

S.30, Financial Information Privacy Protection Act of 2001, entire bill.

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)
Johnson, Michael S.	
Keating, Thomas	
McKernan, Kim F.	
Mellody, Charles J.	
Nelson, Patricia A.	
O'Brien, III, Lawrence F.	
Ruhlen, Mary Ellen	

19. Interest of each foreign entity in the specific issues listed on line 16 above

☒ Check if None

Signature _____ Date _____

Printed Name and Title Celeste Dembowski - Office Administrator Pa

Registrant Name: The OB-C Group, LLCClient Name: Investment Company Institute

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

Registrant Name: The OB-C Group, LLC

Client Name: Investment Company Institute

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 FIN (one per page)

16. Specific Lobbying issues

H.R.10, Comprehensive Retirement Security and Pension Reform Act of 2001, IRA Expansion.

H.R.168, To amend the Internal Revenue Code of 1986 to allow individuals an exclusion from gross income for amounts of capital gains distributions from regulated investment companies., capital gains.

H.R.3162, Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT ACT) Act of 2001, money laundering, account management for foreign national.

H.R.3406, Electric Supply and Transmission Act, providing exemptions to affiliates of public utility holding companies. PUHCA repeal.

S.631, Comprehensive Retirement Security and Pension Reform Act of 2001, IRA Expansion.

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)
Johnson, Michael S.	
Keating, Thomas	
McKernan, Kim F.	
Mellody, Charles J.	
Nelson, Patricia A.	
O'Brien, III, Lawrence F.	
Ruhlen, Mary Ellen	

19. Interest of each foreign entity in the specific issues listed on line 16 above

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Printed Name and Title Celeste Dembowski - Office Administrator Page

Registrant Name: The OB-C Group, LLCClient Name: Investment Company Institute

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

Registrant Name: The OB-C Group, LLC

Client Name: Investment Company Institute

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

H.R.10, Comprehensive Retirement Security and Pension Reform Act of 2001, provide new incentives to save

H.R.2269, Retirement Security Advice Act of 2001, entire bill.

H.R.3669, Employee Retirement Savings Bill of Rights, entire bill.

H.R.3762, Pension Security Act of 2002, entire bill.

S.1969, Pension Security Act of 2002, entire bill.

S.631, Comprehensive Retirement Security and Pension Reform Act of 2001, provide new incentives to save.

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)
Johnson, Michael S.	
Keating, Thomas	
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Mellody, Charles J.	
Nelson, Patricia A.	
O'Brien, III, Lawrence F.	
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Printed Name and Title Celeste Dembowski - Office Administrator Pa

Registrant Name: The OB-C Group, LLC

Client Name: Investment Company Institute

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

Registrant Name: The OB-C Group, LLC

Client Name: Investment Company Institute

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 TAX (one per page)

16. Specific Lobbying issues

H.R.1836, Economic Growth and Tax Relief Reconciliation Act of 2001, entire bill.

H.R.3, Economic Growth and Tax Relief Act of 2001, entire bill.

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

☐ Check if None

House of Representatives


Senate

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Johnson, Michael S.	
Keating, Thomas	
McKernan, Kim F.	
Mellody, Charles J.	
Nelson, Patricia A.	
O'Brien, III, Lawrence F.	
Ruhlen, Mary Ellen	

19. Interest of each foreign entity in the specific issues listed on line 16 above

☒ Check if None

Signature  Date 4/13/2003
Printed Name and Title Celeste Dembowski - Office Administrator Page

Registrant Name: The OB-C Group, LLCClient Name: Investment Company Institute

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

