

00 AUG 19 AM 10: 25

LOBBYING REPORT

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

1. Registrant Name <u>Investment Company Institute</u>			
2. Address <input type="checkbox"/> Check if different than previously reported <u>1401 H Street, NW, Suite 1200</u>			
3. Principal Place of Business (if different from line 2) City: <u>Washington</u> State/Zip (or Country) <u>DC</u> <u>20005</u>			
4. Contact Name <u>Lawrence R. Maffia</u>	Telephone <u>202/326-5800</u>	E-mail (optional)	5. Senate ID # <u>20128-12</u>
7. Client Name <input checked="" type="checkbox"/> Self	6. House ID # <u>31117000</u>		

TYPE OF REPORT 8. Year 2000 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

<p>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"/> ⇒ \$ _____ <small>Income (nearest \$20,000)</small></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>13. Organizations</p> <p>EXPENSES relating to lobbying activities for this reporting period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>2,120,000.00</u> <small>Expenses (nearest \$20,000)</small></p> <p>14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA definitions only</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input checked="" type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p>
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Signature _____

Printed Name and Title _____

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

Financial Services Modernization - PL 106-102
Municipal Bankruptcy - HR833 ; S625

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

U.S. Senate
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)	New
Julie Domenick		<input type="checkbox"/>
Donald J. Morrissey		<input type="checkbox"/>
Dean R. Sackett III		<input checked="" type="checkbox"/>
David Kemps		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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

Signature _____ Date _____

Printed Name and Title _____

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

16. Specific lobbying issues

Investment Competitiveness - Administration FY 2001 Budget
 SEC Appropriations - H.R. 2107; H.R. 2441; H.R. 4690

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

U.S. Senate
 U.S. House Of Representatives

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

Name	Covered Official Position (if applicable)	New
Donald J. Morrissey		<input type="checkbox"/>
J. Michael Stern		<input type="checkbox"/>
David Kemp		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
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15. General issue area code FIN (one per page)

16. Specific lobbying issues

- Bond Market Transparency
- CFIC Reauthorization - H.R. 4541; S.2697
- Charitable Giving Disclosure - H.R.887
- Electronic Authentication/Digital Signature - H.R.1714; PL 106-229; S.761; S.921
- Federalism - H.R.2245; S.1214
- Financial Privacy - H.R.3320; H.R.4380; S.187; S.1903; S.1924; S.2360; S.2513; S.900
- HI-B Visas - H.R.2698; H.R.3814; H.R.3983; H.R.4227; S.1440; S.1563; S.1804; S.2043
- Hedge Fund Regulation - H.R.2924; H.R.3483; S.1968

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

- U.S. Senate
- U.S. House of Representatives
- Department of Treasury

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

Name	Covered Official Position (if applicable)	New
Julie Domenick		<input type="checkbox"/>
Donald J. Morrissey		<input type="checkbox"/>
Timothy Forde		<input type="checkbox"/>
David Kempa		<input type="checkbox"/>
Dean R. Sackett III		<input checked="" type="checkbox"/>
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15. General issue area code FIN (one per page)

16. Specific lobbying issues

- Impact on Mutual Fund Holdings - H.R.1462; H.R.1471; H.R.2896; H.R.2905; H.R.3886; H.R.4695; S.1663
- Internet Taxation - H.R.3709; S.1611; S.2028; S.2255; S.328
- Investment Advisers Issues
- Investment Sales & Disclosure
- Market Structure
- Mutual Fund Disclosure - H.R.1089
- Patenting Financial Processes - H.R.1907

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

- U.S. Senate
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- Department of Treasury

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David Kemp		<input type="checkbox"/>
Dean R. Sackett III		<input checked="" type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
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Registrant Name Investment Company Institute Client Name Self

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

16. Specific lobbying issues

Privacy of Information - H.R.3321; H.R.4049; H.R.4380; H.R.4585; S.2448; S.2513

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U.S. House of Representatives
Department of Treasury

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<u>Julie Domenick</u>		<input type="checkbox"/>
<u>Donald L. Morrissey</u>		<input type="checkbox"/>
<u>Timothy Forde</u>		<input type="checkbox"/>
<u>David Kemp</u>		<input type="checkbox"/>
<u>Dean R. Sackett III</u>		<input checked="" type="checkbox"/>
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15. General issue area code RET (one per page)

16. Specific lobbying issues

Cross-Trades

Education IRAs - H.R.2488; H.R.7; H.R.922; S.1134; S.14; S. 474

Individual Savings - H.R.2488; S.2740; S.649

IRA Expansion - S.646

Limited Scope Audit Repeal - H.R.1590; S.476

Pension Expansion/Simplification - H.R.1102; H.R.1213; H.R.1590; H.R.188; H.R.2488

H.R.3081; H.R.352; H.R.526; H.R.739; S.132; S.1541; S.476; S.60; S.625
S.646; S.649; S.741; S.8

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

U.S. Senate

U.S. House of Representatives

Department of Labor

Department of Treasury

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

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Donald J. Morrissey		<input type="checkbox"/>
Timothy Forde		<input type="checkbox"/>
J. Michael Stern		<input type="checkbox"/>
David Kemps		<input type="checkbox"/>
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15. General issue area code RET (one per page)

16. Specific lobbying issues

Pension Protection in Bankruptcy - S.625
 Personal Investment Plans- H.R.1793; S.1383; S.21; S.263
 Retirement Security

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

U.S. Senate
 U.S. House of Representatives
 Department of Labor
 Department of Treasury

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

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Julia Domonick		<input type="checkbox"/>
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Timothy Forde		<input type="checkbox"/>
J. Michael Stern		<input type="checkbox"/>
David Kemps		<input type="checkbox"/>
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15. General issue area code TAX (one per page)

16. Specific lobbying issues

- Capital Gains - H.R.4723
- Capitalization - Administration FY 2001 Budget
- Dividends Paid Deduction - Administration FY 2001 Budget
- Investment Competitiveness - H.R.2488
- Publicly Traded Partnerships - H.R.607
- Retirement Related Tax Proposals
- Social Security Reform - H.R.1; H.R.1793; H.R.871; S.1383; S.21; S.263

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

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Julie Domenick		<input type="checkbox"/>
Timothy Forde		<input type="checkbox"/>
J. Michael Stern		<input type="checkbox"/>
Donald J. Morrissey		<input type="checkbox"/>
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15. General issue area code TRD (one per page)

16. Specific lobbying issues

Effects on Mutual Funds - H.R. 4444; Tax Treaties
Encryption Export - H.R. 850; S. 798

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

U.S. Senate
U.S. House of Representatives

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Donald J. Morrissey		<input type="checkbox"/>
J. Michael Stern		<input type="checkbox"/>
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		<input type="checkbox"/>
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Signature [Handwritten Signature] Date 8/19/10
Printed Name and Title LOWERY B. MORRISSEY SENIOR VICE PRESIDENT