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SECRETARY OF THE SENATE  
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## LOBBYING REPORT

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

|  |                             |                                      |                       |
|--|-----------------------------|--------------------------------------|-----------------------|
| 1. Registrant Name<br>American Bankers Association Securities Association  |                             |                                      |                       |
| 2. Address <input type="checkbox"/> Check if different than previously reported<br>1120 Connecticut Avenue, N.W. |                             |                                      |                       |
| 3. Principal Place of Business (if different from line 2)<br>City: Washington State/Zip (or Country) DC 20036    |                             |                                      |                       |
| 4. Contact Name<br>Sarah A. Miller   | Telephone<br>(202) 663-5325 | E-mail (optional)<br>Smiller@aba.com | 5. Senate ID #<br>44- |
| 7. Client Name <input checked="" type="checkbox"/> Self  |                             |                                      | 6. House ID #<br>304  |

**TYPE OF REPORT** 8. Year 2003 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

### INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

|  |   |
|--|---|
| <p><b>12. Lobbying Firms</b></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"/> ⇒ \$ _____<br/>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><b>13. Organizations</b></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 type="checkbox"/> ⇒ \$ <u>40,000.00</u><br/>Expenses (nearest \$20,000)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for description of</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA definition</p> <p><input checked="" type="checkbox"/> Method B. Reporting amounts under section 6033 Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162 Internal Revenue Code</p> |
|--|---|

Signature \_\_\_\_\_

Printed Name and Title

Sarah A. Miller, General Counsel

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LD-2 (REV. 6/98)

P

Registrant Name an Bankers Association Securities Assc Client Name \_\_\_\_\_

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

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

16. Specific lobbying issues

See Attached

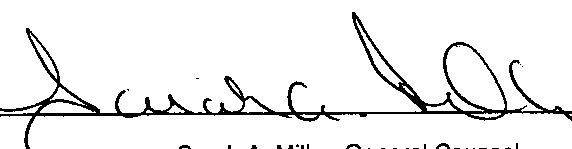
17. House(s) of Congress and Federal agencies contacted  Check if None

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 the 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 08/14/2003



Registrant: **American Bankers Association Securities Association**

Attachment to Page 2, LD-2 Report: Year End (January 1 – June 30, 2003)

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

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

- a. Title III – Money Laundering Abatement

|           |   |
|-----------|---|
| H.R. 1375 | The Financial Services Regulatory Relief Act, Title V Cross Marketing     |
| H.R. 975  | Bankruptcy Abuse Prevention and Consumer Protection Act of 2003, Title IX |
| H.R. 2120 | Bankruptcy Reform Act of 2003, Title IX                                   |
| H.R. 2179 | The Securities Fraud Deterrence and Investor Restitution Act of 2003      |
| H.R. 2420 | The Mutual Funds Integrity and Fee Transparency Act of 2003               |
| S. 509    | The Energy Market Oversight Act   |

Agencies:

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

