

Clerk of the House of Representatives  
Legislative Resource Center  
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Washington, DC 20515

Secretary of the Senate  
Office of Public Records  
232 Hart Building  
Washington, DC 20510

SECRETARY OF THE SENATE

01 MAY 30 AM 9:15

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## LOBBYING REPORT

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

1. Registrant Name United Distillers & Vinters North America			
2. Address <input type="checkbox"/> Check if different than previously reported 1301 K Street NW, East Tower, Suite 1000, Washington, DC 20005			
3. Principal Place of Business (if different from line 2) City: Stamford State/Zip (or Country) CT 06901			
4. Contact Name Mike Bertman		Telephone (202) 715-1115	E-mail (optional) 5. Senate ID # 49830-12
7. Client Name <input checked="" type="checkbox"/> Self		6. House ID # 34572000	

TYPE OF REPORT 8. Year 1999 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)  
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 ☒ ⇒ \$ 200,000  
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

Signature

Printed Name and Title

Mike Bertman, Director, Federal & International Affairs

LD-2 (REV. 6/98)

PAGE 1 of \_\_\_\_\_

Registrant Name UDVNAClient Name SELF

**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 ALC (one per page)

16. Specific lobbying issues

ONDCP appropriations

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

☐ Check if NoneHouseSenateOffice of National Drug Control PolicyDepartment of Health and Human ServicesNational Institute on Alcohol Abuse & AlcoholismSubstance Abuse and Mental Health Services Administration

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

Name	Covered Official Position (if applicable)	New
Peter Serement	SVP - External Affairs	<input type="checkbox"/>
Carolyn Panzer	SVP - Public Policy	<input type="checkbox"/>
Mike Bertman	Director - Federal Affairs	<input type="checkbox"/>
		<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 NoneSignature 

Date \_\_\_\_\_

Printed Name and Title Mike Bertman, Director, Federal & International Affairs

Registrant Name UDVNAClient Name SELF

**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 ALC (one per page)

16. Specific lobbying issues

Distilled Spirits product information  
Drunk driving/transportation issues  
Alcohol research issues

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

☐ Check if None

House

Senate

White House Executive Office of Domestic Policy

Office of National Drug Control Policy

Department of Health and Human Services

National Institute of Alcohol Abuse &amp; Alcoholism

Substance Abuse and Mental Health Administration

Food and Drug

Administration

National Highway

Traffic Safety

Administration

Federal Trade

Commission

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

Name	Covered Official Position (if applicable)	New
Peter Serement	SVP - External Affairs	<input type="checkbox"/>
Carolyn Panzer	SVP - Public Policy	<input type="checkbox"/>
Mike Bertman	Director - Federal Affairs	<input type="checkbox"/>
		<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 Mike Bertman, Director, Federal & International Affairs

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Registrant Name UDVNAClient Name SELF

**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 CAW (one per page)

16. Specific lobbying issues

H.R. 2314 to amend the Clean Air Act with regard to emissions from  
aging warehouses

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

☐ Check if None

House  
Senate  
Environmental Protection Agency

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

Name	Covered Official Position (if applicable)	New
Peter Serement	SVP - External Affairs	<input type="checkbox"/>
Carolyn Panzer	SVP - Public Policy	<input type="checkbox"/>
Mike Bertman	Director - Federal Affairs	<input type="checkbox"/>
		<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 Mike Bertman, Director, Federal & International Affairs

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Registrant Name UDVNA Client Name SELF

**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

S. 434 - Distilled Spirits Tax Simplification Act  
H.R. 716 - Distilled Spirits Tax Simplification Act  
Simplify taxes on alcohol used in the manufacture of non-beverage products  
(drawback): no specific bill

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

☐ Check if None

House  
Senate  
White House  
Department of Treasury  
Bureau of Alcohol, Tobacco and Firearms

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

Name	Covered Official Position (if applicable)	New
Peter Serement	SVP - External Affairs	<input type="checkbox"/>
Carolyn Panzer	SVP - Public Policy	<input type="checkbox"/>
Mike Bertman	Director - Federal Affairs	<input type="checkbox"/>
		<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 Mike Bertman, Director, Federal & International Affairs

Registrant Name UDVNA

Client Name SELF

**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 TRD (one per page)

Eliminating foreign barriers for U.S. distilled spirits exports including Korea; WTO complaint against liquor

16. Specific lobbying issues tax discrimination; Chile: import tariffs and distribution rights; APEC: regional tariff, tax and other barriers to distilled spirits; Chile: WTO: complaint against liquor tax discrimination; Latin America: regional tariff, tax and other barriers to distilled spirits; Russia: removal of restrictions on imported distilled spirits; WTO: tariff elimination for spirits in agricultural market access negotiations; WTO: geographical designations for distinctive distilled spirits; U.S.: customs and administrative requirements for imported beverage alcohol products.

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

☐ Check if None

House

Department of Defense

Senate

U.S. Customs Service

Department of Treasury

Department of Agriculture

Bureau of Alcohol, Tobacco and Firearms

Office of U.S. Trade Representative

Department of Commerce

Department of State

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

Name	Covered Official Position (if applicable)	Now
Peter Serement	SVP - External Affairs	<input type="checkbox"/>
Mike Bertman	SVP - Federal Affairs	<input type="checkbox"/>
		<input type="checkbox"/>
		<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

Mike Bertman, Director, Federal & International Affairs

Registrant Name UDVNA Client Name SELF

**Information Update Page - Complete ONLY where registration information has changed.**

20. Client new address

21. Client new principal place of business (if different from line 20)

City

State/Zip (or Country)

22. New general description of client's business or activities

**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 affiliated organization(s)

Name	Address	Principal Place of Business (city and state or country)

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

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client
Diageo	8 Henriette Place	London-England	-0-	100%

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

Signature  Date \_\_\_\_\_

Printed Name and Title Mike Bertman, Director, Federal & International Affairs

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