

## LOBBYING REPORT

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

1. Registrant Name:

**RYAN PHILLIPS UTRECHT & MACKINNON**

2. Address:

1133 Connecticut Avenue, NW Suite 300, Washington, DC 20036

3. Principal place of business (if different from line 2):

4. Contact Name: MEGHAN O'BRIEN

Telephone: 2022931177

E-mail (optional): meghan@rpum.com

Senate ID #: 30187-1092

House ID #:

7. Client Name: ☐ Self

**OPTIONS CLEARING CORP**

### TYPE OF REPORT

8. Year 2007 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): 60,000.00

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: ☐ => 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

## 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: AGR (one per page)

16. Specific lobbying issues:

Provisions of CFTC Reauthorization Act that pertain to securities exchanges, Title XIII of the Senate Farm Bill, Amendments to the Securities Investor Protection Act of 1970 to facilitate the use of portfolio margining

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

HOUSE OF REPRESENTATIVES  
SENATE

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

Name: BERZOK, MATTHEW

Covered Official Position (if applicable): N/A

Name: HOPPE, RODNEY C.

Covered Official Position (if applicable): N/A

Name: MACKINNON, JEFFREY M.

Covered Official Position (if applicable): N/A

Name: NAPPI, DOUGLAS R.

Covered Official Position (if applicable): CHIEF COUNSEL, SENATE BANKING COMMITTEE

Name: OCONNOR, GEORGE

Covered Official Position (if applicable): COUNSEL, SENATOR LARRY CRAIG

Name: PHILLIPS, WILLIAM D.

Covered Official Position (if applicable): N/A

Name: PLANNING, MARK D.

Covered Official Position (if applicable): N/A

Name: RYAN, THOMAS

Covered Official Position (if applicable): N/A

Name: VASAPOLI, JOSEPH V.

Covered Official Position (if applicable): N/A

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

## 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: HOM (one per page)

16. Specific lobbying issues:

S. 4, Improving America's Security by Implementing Unfinished Recommendations of the 9/11 Commission Act, Titles VIII and XI, all provisions related to private sector preparedness and critical infrastructure protection; H.R. 1, Implementing the 9/11 Commission Recommendations Act of 2007, Titles VII, IX, and XI, all provisions related to private sector preparedness and critical infrastructure protection

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: BERZOK, MATTHEW

Covered Official Position (if applicable): N/A

Name: HOPPE, RODNEY C.

Covered Official Position (if applicable): N/A

Name: MACKINNON, JEFFREY M.

Covered Official Position (if applicable): N/A

Name: NAPPI, DOUGLAS R.

Covered Official Position (if applicable): CHIEF COUNSEL, SENATE BANKING COMMITTEE

Name: OCONNOR, GEORGE

Covered Official Position (if applicable): COUNSEL, SENATOR LARRY CRAIG

Name: PHILLIPS, WILLIAM D.

Covered Official Position (if applicable): N/A

Name: PLANNING, MARK D.

Covered Official Position (if applicable): N/A

Name: RYAN, THOMAS

Covered Official Position (if applicable): N/A

Name: VASAPOLI, JOSEPH V.

Covered Official Position (if applicable): N/A

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

## 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:

P.L. 97-34, Tax Incentive Act of 1981, seeking technical corrections to the Tax Straddle Rules; H.R. 2834, To amend the Internal Revenue Code of 1986 to treat income received by partners for performing investment management services as ordinary income received for the performance of services, all provisions related to carried interest; H.R. 3996, Temporary Tax Relief Act of 2007, Title VI, all provisions related to carried interest

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

HOUSE OF REPRESENTATIVES

SENATE

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

Name: BERZOK, MATTHEW

Covered Official Position (if applicable): N/A

Name: HOPPE, RODNEY C.

Covered Official Position (if applicable): N/A

Name: MACKINNON, JEFFREY M.

Covered Official Position (if applicable): N/A

Name: NAPPI, DOUGLAS R.

Covered Official Position (if applicable): CHIEF COUNSEL, SENATE BANKING COMMITTEE

Name: OCONNOR, GEORGE

Covered Official Position (if applicable): COUNSEL, SENATOR LARRY CRAIG

Name: PHILLIPS, WILLIAM D.

Covered Official Position (if applicable): N/A

Name: PLANNING, MARK D.

Covered Official Position (if applicable): N/A

Name: RYAN, THOMAS

Covered Official Position (if applicable): N/A

Name: VASAPOLI, JOSEPH V.

Covered Official Position (if applicable): N/A

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

Signature: ON FILE Date: Feb 15, 2008

Printed Name and Title: THOMAS RYAN, MANAGING PARTNER -

**Information Update Page:**

**Complete ONLY where registration information has changed.**

**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 organization(s)**

**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**

**28. Name of each previously reported foreign entity the NO LONGER owns, OR controls, OR is affiliated with the registrant, client or affiliated organization**

Signature: ON FILE      Date: Feb 15, 2008

Printed Name and Title: -