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## 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 <input type="checkbox"/> Check if different than previously reported 1133 Connecticut Avenue, NW, Suite 300			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC 20036			
4. Contact Name Rodney Hoppe	Telephone 202-293-1177	E-mail (optional)	5. Senate ID #
7. Client Name <input type="checkbox"/> Self Investment Company Institute			6. House ID # 306800

**TYPE OF REPORT** 8. Year 2002 Midyear (January 1-June 30)  OR Year End (July 1-Dec

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 Lobbyin

### 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 checked="" type="checkbox"/> \$ <u>60,000</u> 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"/> \$ _____ 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 type="checkbox"/> Method B. Reporting amounts under section 6013 Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162 Internal Revenue Code</p>
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Signature

*Rodney C. Hoppe*

*8/12/02*

Printed Name and Title Rodney Hoppe, Legislative Associate



Registrant Name Ryan, Phillips, Utrecht & MacKinnon

Client Name Investment Company Institute

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the 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 BAN (one per page)

16. Specific lobbying issues

H.R. 1408, A bill to safeguard the public from fraud in the financial services industry and to streamline sharing efforts of Federal and State regulators, all provisions  
 Security and Exchange Commission Regulation Fair Disclosure, Congressional Oversight Hearings.  
 H.R. 1409, A bill to reform the regulation of certain housing related Government Sponsored Entities, all provisions  
 Congressional Oversight of Section 17 of the 1940 Securities Act, all provisions  
 H.R. 3970, S. 2004, Confidence in Accounting Act, 2002

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

U.S. House  
 U.S. Senate  
 Executive Office of the President

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

Name	Covered Official Position (if applicable)
Matt Berzok	-----
Rodney Hoppe	-----
Jeffrey M. MacKinnon	-----
William D. Phillips	-----
Mark Planning	-----
Thomas M. Ryan	-----
Joseph V. Vasapoli	-----

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

Signature \_\_\_\_\_

Date \_\_\_\_\_



Registrant Name Ryan, Phillips, Utrecht & MacKinnon Client Name Investment Company Institute

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

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

16. Specific lobbying issues

Issues relating to developing legislation relating to privacy and the Financial Services Industry

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

U.S. House  
U.S. Senate

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

Name	Covered Official Position (if applicable)
Matt Berzok	-----
Rodney Hoppe	-----
Jeffrey M. MacKinnon	-----
William D. Phillips	-----
Mark Planning	-----
Thomas M. Ryan	-----
Joseph V. Vasapoli	-----

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

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



Registrant Name Ryan, Phillips, Utrecht & MacKinnon

Client Name Investment Company Institute

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

16. Specific lobbying issues  
NONE

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

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

Name	Covered Official Position (if applicable)
Matt Berzok	
Rodney Hoppe	
Jeffrey M. MacKinnon	
William D. Phillips	
Mark Planning	
Thomas M. Ryan	
Joseph V. Vasapoli	

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

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



Registrant Name Ryan, Phillips, Utrecht & MacKinnon Client Name Investment Company Institute

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

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

16. Specific lobbying issues  
NONE

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

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

Name	Covered Official Position (if applicable)
Matt Berzok	
Rodney Hoppe	
Jeffrey M. MacKinnon	
William D. Phillips	
Mark Planning	
Thomas M. Ryan	
Joseph V. Vasapoli	

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

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



Registrant Name Ryan, Phillips, Utrecht & MacKinnon Client Name Investment Company Institute

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

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

16. Specific lobbying issues  
NONE

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

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

Name	Covered Official Position (if applicable)
Matt Berzok	-----
Rodney Hoppe	-----
Jeffrey M. MacKinnon	-----
William D. Phillips	-----
Mark Planning	-----
Thomas M. Ryan	-----
Joseph V. Vasapoli	-----

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

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

