

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

Secretary of the Senate  
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232 Hart Building  
Washington, DC 20510

SECRETARY OF THE SENATE

03 FEB 14 PM 4: 32

**LOBBYING REPORT**

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

1. Registrant Name <b>Washington Council Ernst &amp; Young</b>			
2. Registrant Address <input type="checkbox"/> Check if different than previously reported Address <b>1150 17th Street, NW Suite 601</b> City <b>Washington</b> State/Zip (or Country) <b>DC 20036</b> <b>USA</b>			
3. Principal Place of Business (if different from line 2) City _____ State/Zip (or Country) _____			
4. Contact Name <b>Bruce Gates</b>	Telephone <b>202-293-7474</b>	E-mail (optional) <b>bruce.gates@wc.ey.com</b>	5. Senate ID # <b>57475-1231</b>
7. Client Name <input type="checkbox"/> Self <b>Securities Industry Association</b>			6. House ID # <b>35185075</b>

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

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 Lobby

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

<p><b>12. Lobbying Firms</b></p> <p><b>INCOME</b> 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"/> &gt;&gt; \$ <u>\$140,000.00</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><b>EXPENSES</b> 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"/> &gt;&gt; \$ _____ Expenses (nearest \$)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for description of</p> <p><input type="checkbox"/> <b>Method A.</b> Reporting amounts using LDA definition</p> <p><input type="checkbox"/> <b>Method B.</b> Reporting amounts under section 602 of the Internal Revenue Code</p> <p><input type="checkbox"/> <b>Method C.</b> Reporting amounts under section 162 of the Internal Revenue Code</p>
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Signature *Bruce Gates* Date 2/12/2003

Printed Name and Title Bruce Gates - Partner P:

Registrant Name: Washington Council Ernst & Young

Client Name: Securities Industry Association

**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 FIN (one per page)

16. Specific Lobbying issues  
**tax issues relating to the financial services industry; corporate accountability**  
**investment advice**  
**market structure/ market data**  
**spam**  
**deposit insurance reform**  
**social security**  
**privacy**  
**mutual fund proxy vote disclosure**

17. House(s) of Congress and Federal agencies contacted  Check if None  
**Department of Treasury**  
**Executive Office of the President**  
**House of Representatives**  
**Senate**

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

Name	Covered Official Position (if applicable)
<b>Badger, Doug</b>	
<b>Bazel, Lauren</b>	
<b>Doney, John</b>	
<b>Fitzgerald, Jayne</b>	
<b>Garrett-Nelson, LaBrenda</b>	
<b>Gasper, Gary</b>	
<b>Gates, Bruce</b>	

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

Signature \_\_\_\_\_ Date 4/14/2003

Printed Name and Title Bruce Gates - Partner Pa

Registrant Name: Washington Council Ernst & YoungClient Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Giles, Thomas
18b	Covered Official Position	Health Counsel, Energy and Commerce Committee
18c	New Lobbyist	No
18a	Lobbyist Name	Giordano, Nick
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Grab, Francis
18b	Covered Official Position	Tax & Trade Counsel, Office of Rep. Robert Matsui
18c	New Lobbyist	No
18a	Lobbyist Name	Koch, Cathy
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Koshgarian, Dave
18b	Covered Official Position	Chief of Staff, Office of Congressman Ben Cardin
18c	New Lobbyist	No
18a	Lobbyist Name	McGuinness, Marty
18b	Covered Official Position	Associate to Pete Sessions, House Cmte on Rules
18c	New Lobbyist	No
18a	Lobbyist Name	Meltzer, Richard
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Moseley, Phil
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Phelps, Anne
18b	Covered Official Position	Special Asst. to the President for Domestic Policy
18c	New Lobbyist	Yes
18a	Lobbyist Name	Porter, John
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Relland, Susan
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Rozen, Bob
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Steele-Flynn, Donna
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Urban, Tim
18b	Covered Official Position	
18c	New Lobbyist	No



Registrant Name: Washington Council Ernst & Young

Client Name: Securities Industry Association

**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 RET (one per page)
- 16. Specific Lobbying issues
  - General social security, pension issues
  - Retirement security

- 17. House(s) of Congress and Federal agencies contacted  Check if None
  - Department of Treasury
  - Executive Office of the President
  - House of Representatives
  - Senate

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

Name	Covered Official Position (if applicable)
Badger, Doug	
Bazel, Lauren	
Doney, John	
Fitzgerald, Jayne	
Garrett-Nelson, LaBrenda	
Gasper, Gary	
Gates, Bruce	

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

Signature \_\_\_\_\_ Date 11/11/2009

Printed Name and Title Bruce Gates - Partner Pa



Registrant Name: Washington Council Ernst & YoungClient Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Giles, Thomas
18b	Covered Official Position	Health Counsel, Energy and Commerce Committee
18c	New Lobbyist	No
18a	Lobbyist Name	Giordano, Nick
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Grab, Francis
18b	Covered Official Position	Tax & Trade Counsel, Office of Rep. Robert Matsui
18c	New Lobbyist	No
18a	Lobbyist Name	Koch, Cathy
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Koshgarian, Dave
18b	Covered Official Position	Chief of Staff, Office of Congressman Ben Cardin
18c	New Lobbyist	No
18a	Lobbyist Name	McGuinness, Marty
18b	Covered Official Position	Associate to Pete Sessions, House Cmte on Rules
18c	New Lobbyist	No
18a	Lobbyist Name	Meltzer, Richard
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Moseley, Phil
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Phelps, Anne
18b	Covered Official Position	Special Asst. to the President for Domestic Policy
18c	New Lobbyist	Yes
18a	Lobbyist Name	Porter, John
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Relland, Susan
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Rozen, Bob
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Steele-Flynn, Donna
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Urban, Tim
18b	Covered Official Position	
18c	New Lobbyist	No



Registrant Name: Washington Council Ernst & Young

Client Name: Securities Industry Association

**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  
**General tax issues**  
**tax issues relating to the financial services industry**  
**tax treatment of dividends**  
**defined benefit plans**  
**alternative minimum tax**  
**stock option expensing**  
**estate tax**

**HR 10**

17. House(s) of Congress and Federal agencies contacted  Check if None  
**Department of Treasury**  
**Executive Office of the President**  
**House of Representatives**  
**Senate**

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

Name	Covered Official Position (if applicable)
<b>Badger, Doug</b>	
<b>Bazel, Lauren</b>	
<b>Doney, John</b>	
<b>Fitzgerald, Jayne</b>	
<b>Garrett-Nelson, LaBrenda</b>	
<b>Gasper, Gary</b>	
<b>Gates, Bruce</b>	

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

Signature \_\_\_\_\_ Date 4/14/2005

Printed Name and Title Bruce Gates - Partner Pa

Registrant Name: Washington Council Ernst & YoungClient Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Giles, Thomas
18b	Covered Official Position	Health Counsel, Energy and Commerce Committee
18c	New Lobbyist	No
18a	Lobbyist Name	Goodwin, Jeffrey L.
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Grab, Francis
18b	Covered Official Position	Tax & Trade Counsel, Office of Rep. Robert Matsui
18c	New Lobbyist	No
18a	Lobbyist Name	Koch, Cathy
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Koshgarian, Dave
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18a	Lobbyist Name	McGuinness, Marty
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18a	Lobbyist Name	Meltzer, Richard
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Moseley, Phil
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Phelps, Anne
18b	Covered Official Position	Special Asst. to the President for Domestic Policy
18c	New Lobbyist	Yes
18a	Lobbyist Name	Porter, John
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Relland, Susan
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Rozen, Bob
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Steele-Flynn, Donna
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Urban, Tim
18b	Covered Official Position	
18c	New Lobbyist	No

