

LOBBYING REPORT

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

1. Registrant Name:

INVESTMENT COMPANY INSTITUTE

2. Address:

1401 H STREET, NW, SUITE 1200, WASHINGTON, DC 20005

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

Country: City: State/Zip(or Country):

4. Contact Name: DANIEL F. C. CROWLEY

Telephone: 202 326-5962

E-mail (optional): dcrowley@ici.org

Senate ID #: 20128-12

House ID #: 31117000

7. Client Name: Self

TYPE OF REPORT

8. Year 2006 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: => Expenses (nearest \$20,000): 2,620,000.00

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

Registrant Name: INVESTMENT COMPANY INSTITUTE 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: ACC (one per page)

16. Specific lobbying issues:

H.R. 5405/S. 2824, Competitive & Open Markets that Protect & Enhance the Treatment of Entrepreneurs Act, provisions related to SOX Section 404.

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

U.S. House of Representatives

U.S. Senate

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

Name: AUERBACH, DONALD C

Covered Official Position (if applicable):

Name: SACKETT, DEAN R.

Covered Official Position (if applicable):

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

Registrant Name: INVESTMENT COMPANY INSTITUTE 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: BUD (one per page)

16. Specific lobbying issues:

H.R. 5672, FY 2007 Science, State, Justice, and Commerce Appropriations Act, provisions related to SEC funding.

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

U.S. House of Representatives

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

Name: SACKETT, DEAN R.

Covered Official Position (if applicable):

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: FIN (one per page)

16. Specific lobbying issues:

H.R. 436/S. 1396, Increased Capital Access for Growing Business Act, provisions related to business development companies. H.R. 458/S. 418, Military Personnel Financial Services Protection Act of 2005, provisions relating to contractual plans. H.R. 1461, Federal Housing Finance Reform Act of 2005, provisions related to GSEs. H.R. 282, Iran Freedom Support Act, provisions related to disclosure of mutual fund investments in Iran.H.R. 2990, Credit Rating Agency Duopoly Relief Act of 2005, provisions related to NRSROs. H.R. 3997, Financial Data Protection Act of 2005, provisions related to data security. H.R. 4127, Data Accountability and Trust Act, provisions related to data security. H.R. 4618, Compliance, Examinations, and Inspections Restructuring Act of 2005, provisions related to SEC authority. H.R. 5318, Cyber-Security Enhancement & Consumer Data Protection Act of 2006, provisions re: data security. H.R. 5337, Reform of National Security Reviews of Foreign Direct Investments Act, provisions related to CFIUS. H.R. 5491, Securities Litigation Attorney Accountability & Transparency Act, provisions re: securities class actions. H.R. 5712, Securities & Exchange Commission Authority Act of 2006, provisions related to hedge fund investment adviser registration. S. 687, SPY BLOCK Act, provisions related to data security. S. 1326, Notification of Risk to Personal Data Act, provisions related to data security. S. 1789, Personal Data Privacy & Security Act of 2005, provisions related to data security. S. 3549, Foreign Investment & National Security Act of 2006, provisions related to CFIUS. S. 3568, Data Security Act of 2006, provisions related to data security.

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

U.S. House of Representatives

U.S. Senate

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

Name: AUERBACH, DONALD C

Covered Official Position (if applicable):

Name: CROWLEY, DANIEL F. C.

Covered Official Position (if applicable):

Name: SACKETT, DEAN R.

Covered Official Position (if applicable):

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

Registrant Name: INVESTMENT COMPANY INSTITUTE 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: RET (one per page)

16. Specific lobbying issues:

H.R. 2830, Pension Protection Act of 2005, provisions related to investment advice, 401 (k) auto enrollment & EGTRRA permanency. S. 1783, Pension Security & Transparency Act of 2005, provisions related to 401 (k) auto enrollment.

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

U.S. House of Representatives

U.S. Senate

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

Name: AUERBACH, DONALD C

Covered Official Position (if applicable):

Name: CROWLEY, DANIEL F. C.

Covered Official Position (if applicable):

Name: GUNAS, PETER J.

Covered Official Position (if applicable):

Name: KRAMERICH, LESLIE

Covered Official Position (if applicable):

Name: SACKETT, DEAN R.

Covered Official Position (if applicable):

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

Registrant Name: INVESTMENT COMPANY INSTITUTE 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:

H.R. 819/S. 381, Retirement Security for Life Act of 2005, provisions related to annuities. H.R. 2121/S. 1740, Generating Retirement Ownership Through Long-Term Holding Act of 2005, provisions related to mutual fund capital gain distributions. H.R. 4297, Tax Relief Extension Reconciliation Act of 2005, provisions related to JGTRRA extension. S. 2020, Tax Relief Act of 2005, provisions related to FIRPTA. H.R. 3912, Flexible Retirement Security for Life Act of 2005, provisions related to annuities. H.R. 1956/S. 2721, Business Activity Tax Simplification Act, provisions related to physical presence standard. H.R. 1499, Heroes Earned Retirement Opportunities Act, provisions related to contributing combat pay to IRA's. H.R. 5367/S. 2414, Simplification Through Additional Reporting Tax Act of 2005, provisions related to cost basis reporting. Tax Exempt Interest Reporting & Withholding.

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

U.S. House of Representatives

U.S. Senate

U.S. Department of Treasury

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

Name: AUERBACH, DONALD C

Covered Official Position (if applicable):

Name: CROWLEY, DANIEL F. C.

Covered Official Position (if applicable):

Name: GUNAS, PETER J.

Covered Official Position (if applicable):

Name: KRAMERICH, LESLIE

Covered Official Position (if applicable):

Name: SACKETT, DEAN R.

Covered Official Position (if applicable):

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

Signature: ON FILE Date: Aug 03, 2006

Printed Name and Title: Daniel F. C. Crowley, Chief Government Affairs Off -

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: Aug 03, 2006

Printed Name and Title: DANIEL F. C. CROWLEY, CHIEF GOVERNMENT AFFAIRS OFF -