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Washington, DC 20510

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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 <input type="checkbox"/> Check if different than previously reported 1401 H Street, NW Suite 1200			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC 20005			
4. Contact Name Lawrence R. Maffia	Telephone 202-326-5800	E-mail (optional)	5. Senate ID # 20128-12
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # 31117000

TYPE OF REPORT 8. Year 2001 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 Lobbyir

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 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> ⇒ \$ _____ 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 re period were: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>2,640,000</u> Expenses (nearest 14. REPORTING METHOD. Check box to indica accounting method. See instructions for description c <input type="checkbox"/> Method A. Reporting amounts using LDA defin <input type="checkbox"/> Method B. Reporting amounts under section 60: Internal Revenue Code <input checked="" type="checkbox"/> Method C. Reporting amounts under section 16: Internal Revenue Code

Signature _____

Printed Name and Title _____



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 is 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
Antifraud Data Sharing - H.R. 1408
Bank Interest On Business Checking - H.R. 1009; H.R. 974; S. 229
Community Reinvestment Act - H.R. 865
Municipal Bankruptcy - H.R. 333; S. 220; S. 420

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

U.S. Senate
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
Donald J. Morrissey	
Dean R. Sackett III	
David Kemp	

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

Signature _____ Date _____

Printed Name and Title _____



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 is 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 BUD (one per page)

16. Specific lobbying issues

SEC Appropriations - Administration FY 2002 Budget; H.R. 2500

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

U.S. Senate
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
J. Michael Stern	
David Kemps	

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

Signature _____ Date _____

Printed Name and Title _____



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 is engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code and provide information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

- After-Tax Disclosure
- Anti-Money Laundering - H.R. 1114; S. 398
- Bond Market Transparency
- Business Method Patents - H.R. 1332
- Effects on Mutual Fund Holdings - H.R. 1409
- Electronic Authentication/Digital Signatures
- Electronic Communications - H.R. 1017; H.R. 718; S. 630
- Fair Credit Reporting - H.R. 1543
- Financial Privacy - S.30

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

- U.S. Senate
- U.S. House of Representatives
- Executive Office of the Vice President

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

Name	Covered Official Position (if applicable)
Donald J. Morrissey	
Dean R. Sackett III	
Julie Domenick	

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

Signature _____ Date _____

Printed Name and Title _____



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 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 FIN (one per page)

16. Specific lobbying issues

Internet Taxation - H.R. 1552; H.R. 1675; S. 245; S.246; S. 288
Market Structure
Privacy Information - H.R. 2036; S. 848
SEC Fee Reduction - H.R. 1088; S. 143
Section 17(a)

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

Check if None

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

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

Name	Covered Official Position (if applicable)
Donald J. Morrissey	
Dean R. Sackett III	
Julie Domenick	

19. Interest of each foreign entity in the specific issues listed on line 16 above

Check if None

Signature _____ Date _____

Printed Name and Title _____



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

16. Specific lobbying issues

Cross-Trades

Education IRAs - H.R. 1836; S. 763

ERISA Reform - H.R. 2269

IRA Expansion - H.R. 7

Pension Expansion/Simplification - H.R. 10; H.R. 1836; S. 742

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

Check if None

U.S. Senate

U.S. House of Representatives

Department of Labor

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

Name	Covered Official Position (if applicable)
Donald J. Morrissey	
David Kemps	
J. Michael Stern	

19. Interest of each foreign entity in the specific issues listed on line 16 above

Check if None

Signature _____ Date _____

Printed Name and Title _____



Registrant Name Investment Company Institut Client Name Self

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

Capital Gains - H.R. 168; H.R. 300

Social Security Reform

Tax Relief - H.R. 1836; H.R. 3; H.R. 6; S. 896

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

Check if None

U.S. Senate

U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
Julie Domenick	
David Kemps	
J. Michael Stern	
Donald J. Morrissey	
Timothy Forde	

19. Interest of each foreign entity in the specific issues listed on line 16 above

Check if None

Signature _____ Date _____

Printed Name and Title _____



Investment Company Institute Self
Registrant Name _____ Client Name _____

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 TRD (one per page)

16. Specific lobbying issues

Investment Competitiveness - H.R. 1267

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

Check if None

U.S. Senate


U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
J. Michael Stern	

19. Interest of each foreign entity in the specific issues listed on line 16 above

Check if None

Signature  Date 8-13-2001

Printed Name and Title Lawrence R. Maffia, Senior Vice President

