

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

SECRETARY OF THE

01 AUG 14 PM

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 # 30680029

TYPE OF REPORT 8. Year 2001 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 Activities ☐

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 ☒ \$ 60,000
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)

14. REPORTING METHOD. Check box to indicate expected accounting method. See instructions for description of options.

☐ **Method A.** Reporting amounts using LDA definition

☐ **Method B.** Reporting amounts under section 6033(b) Internal Revenue Code

☐ **Method C.** Reporting amounts under section 162(e) Internal Revenue Code

Signature Rodney C. Hoppe

Printed Name and Title Rodney Hoppe, Legislative Associate

08/14/01



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 regi engaged in lobbying on behalf of the client during the reporting period. **Using a separate page for each code, p** 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 anti 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 prc Congressional Oversight of Section 17 of the 1940 Securities Act, all provisions

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 regi engaged in lobbying on behalf of the client during the reporting period. **Using a separate page for each code, p** 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 _____

[REDACTED]

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 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
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 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
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 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
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 _____

