

FAX  
312-750-6600

LAW OFFICES  
**ROSS & HARDIES**  
A PARTNERSHIP INCLUDING PROFESSIONAL CORPORATIONS  
150 NORTH MICHIGAN AVENUE  
CHICAGO, ILLINOIS 60601-7567  
312-558-1000

WRITER'S DIRECT LINE: (312) 750-2750  
WRITER'S DIRECT FAX: (312) 920-8184  
WRITER'S EMAIL: scott.hodes@rosshardies.com

RECEIVED  
SECRETARY OF THE SENATE  
PUBLIC RECORDS  
01 JAN 30 AM 8:15

PARK AVENUE TOWER  
66 EAST 50TH STREET  
NEW YORK, NEW YORK 10022-3219  
212-481-9585  
500 SIXTEENTH STREET, N.W.  
WASHINGTON, D.C. 20005-4103  
202-295-9600

SCOTT HODES

January 25, 2001

Secretary of the Senate  
Office of Public Records  
232 Hart Senate Office  
Washington, D. C. 20510-7716

Re: Lobbying Disclosure Act of 1995  
Investment Company Institute - ID 33762-12

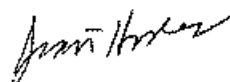
Dear Sir or Madam:

Enclosed please find a copy of Form LD-2 (Lobbying Report) for the Year End period July 1 through December 31, 2000. This Report is being submitted on behalf of Registrant, Ross & Hardies.

If you have any questions concerning the attached Report, please do not hesitate to contact the undersigned.

Please confirm receipt of this Report by date stamping the enclosed copy of this letter and returning it to the undersigned in the self-addressed stamped envelope provided herein.

Very truly yours,



Scott Hodes

SH/j  
enclosures

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## LOBBYING REPORT

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

1. Registrant Name Ross & Hardies			
2. Address <input type="checkbox"/> Check if different than previously reported 150 North Michigan Avenue, Suite 2500, Chicago, Illinois 60601			
3. Principal Place of Business (if different from line 2) City: Chicago State/Zip (or Country) Illinois 60601			
4. Contact Name Scott Hodes		Telephone 312/750-2750	E-mail (optional) scott.hodes@rosshardies.com
5. Senate ID # 33762-12			
7. Client Name <input type="checkbox"/> Self Investment Company Institute		6. House ID # 31892-000	

TYPE OF REPORT 8. Year 2000 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

<b>12. Lobbying Firms</b>  INCOME relating to lobbying activities for this reporting period was:  Less than \$10,000 <input type="checkbox"/>  \$10,000 or more <input checked="" type="checkbox"/> \$ 20,000 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).	<b>13. Organizations</b>  EXPENSES relating to lobbying activities for this reporting period were:  Less than \$10,000 <input type="checkbox"/>  \$10,000 or more <input checked="" type="checkbox"/> \$ _____ Expenses (nearest \$20,000)  <b>14. REPORTING METHOD.</b> Check box to indicate expense accounting method. See instructions for description of options. <input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions only <input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code
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Signature 

Printed Name and Title Scott Hodes, Partner

Registrant Name Scott Hodes 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

- a) H.R. 1102 (Pension and IRA expansion)
- b) H.R. 1089 (After-Tax Disclosure)
- c) H.R. 4203 (OTC derivatives market)

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

☐ Check if None

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

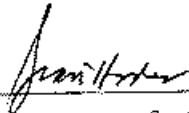
18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)	New
Scott Hodes	Partner	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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

☐ Check if None

Signature



Date 1/25/2001

Printed Name and Title

Scott Hodes, Partner

Form LD-2 (Rev. 6/98)

Page 2 of 3

Registrant Name Scott Hodes 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

- a) H.R. 1102 (Pension and IRA expansion)
- b) H.R. 1089 (After-Tax Disclosure)
- c) H.R. 4203 (OTC derivatives market)

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

☐ Check if None

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

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

Name	Covered Official Position (if applicable)	New
Scott Hodes	Partner	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

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

☐ Check if None

Signature

*Scott Hodes*

Date

1/25/2001

Printed Name and Title

Scott Hodes, Partner

Form LD-2 (Rev. 6/98)

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