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LOBBYING REPORT

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

1. Registrant Name

The Northwestern Mutual Life Insurance Company

2. Address ☐ Check if different than previously reported

720 East Wisconsin Avenue

3. Principal Place of Business (if different from line 2)

City: Milwaukee

State/Zip (or Country)

WI 53202

4. Contact Name

Telephone

E-mail (optional)

5. Senate ID #

Frederic H. Sweet

414-665-7319

29607-

7. Client Name ☒ Self

6. House ID #

312960

TYPE OF REPORT

8. Year 2001

Midyear (January 1-June 30) ☒

OR Year End (July 1-Decer

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

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 ☒ ⇒ \$ 800,000.00
Expenses (nearest \$20,000)

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

☐ Method A. Reporting amounts using LDA definition

☐ Method B. Reporting amounts under section 6033 Internal Revenue Code

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

Signature

Printed Name and Title Frederic H. Sweet - Senior Vice President



Registrant Name The Northwestern Mutual Client Name Self
Life Insurance Company

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, information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

See attachment

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)
Frederic H. Sweet	
Steven M. Radke	
Michael L. Youngman	

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

☒ Check if None

Signature _____ Date August 10, 2001

Printed Name and Title Frederic H. Sweet - Senior Vice President



Attachment to BAN Lobbying Activity Report

BAN

S. 420 Bankruptcy Reform Act of 2001

S. 220 Bankruptcy Reform Act of 2001

H.R. 333 Bankruptcy Reform Act of 2001

Registrant Name The Northwestern Mutual Client Name Self
Life Insurance Company

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant was 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

See attachment

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)
Frederic H. Sweet	
Steven M. Radke	
Michael L. Youngman	

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

☒ Check if None

Signature _____ Date August 10, 2001

Printed Name and Title Frederic H. Sweet - Senior Vice President



Attachment to FIN Lobbying Activity Report

FIN

- S. 630 Controlling the Assault of Non-Solicited Pornography and Marketing Act of 2001 or CAN SPAM Act of 2001 3/27/01 (Burns, Wyden).
- S. 450 Financial Institution Privacy Protection Act of 2001 3/1/2001 (Nelson, D-FL). A bill to amend the Gramm-Leach-Bliley Act to provide for enhanced protection of nonpublic personal information, including health information.
- S. 324 Social Security Number Privacy Act of 2001 2/14/01 (Shelby). A bill to amend the GLB Act to prohibit the sale and purchase of the SSN of an individual by financial institutions to include SSN's in the definition of nonpublic personal information.
- S. 30 Financial Information Privacy Protection Act of 2001 1/22/01 (Sarbanes). A bill to strengthen control by consumers over the use and disclosure of their personal financial and health information by financial institutions.
- H.R. 2421 Jurisdictional Certainty Over Digital Commerce Act 6/28/01 (Stearns, R-FL). To exercise authority under article I, section 8, clause 3 of the Constitution of the United States to clearly establish jurisdictional boundaries over the commercial transactions of digital goods and services conducted through the Internet, and to foster stability and certainty over the treatment of such transactions.
- H.R. 2341 Class Action Fairness Act of 2001 6/27/01 (Goodlatte, Boucher). To amend the procedures that apply to consideration of interstate class actions to assure fairer outcomes for class members and defendants.
- H.R. 1478 Personal Information Privacy Act of 2001 4/4/01 (Rep. Kleczka D-WI). A bill to protect the privacy of the individuals with respect to the Social Security Number and other personal information, and other personal information, and for other purposes.
- H.R. 1408 Structured Settlement Protection Act 4/4/01 (Rep. Shaw, F-FL). A bill to amend the Internal Revenue Code of 1986 to impose an excise tax on persons who acquire structured settlement payments in factoring transactions.
- H.R. 1017 Anti-Spamming Act of 2001 3/14/01 (Rep. Goodlatte, R-VA). A bill to prohibit the unsolicited e-mail known as "spam."
- H.R. 718 Unsolicited Commercial Electronic Mail Act of 2001 2/14/01 (Rep. Wilson, R-NM). A bill to protect individuals, families, and Internet service providers from unsolicited and unwanted electronic mail.
- H.R. 2036 Social Security Number Privacy and Identity Theft Prevention Act of 2001 5/28/01 (Rep. Shaw, R-FL). A bill to amend the Social Security Act to enhance privacy protections for individuals, to prevent fraudulent misuse of the Social Security account number, and for other purposes.
- H.R. 91 Social Security On-line Privacy Protection Act 1/3/01 (Rep. Frelinghuysen, R-NJ). A bill to regulate the use by interactive computer services of Social Security account numbers and related personally identifiable information.



Registrant Name The Northwestern Mutual Client Name Self
Life Insurance Company

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant was 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 INS (one per page)

16. Specific lobbying issues

See attachment

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)
Frederic H. Sweet	
Steven M. Radke	
Michael L. Youngman	

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

☒ Check if None

Signature _____ Date August 10, 201

Printed Name and Title Frederic H. Sweet - Senior Vice President



Attachment to INS Lobbying Activity Report

INS

- S. 1055 Privacy Act of 2001 6/14/01 (Feinstein). A bill to require the consent of an individual prior to the sale and marketing of such individual's personally identifiable information.
- S. 1052 Bipartisan Patient Protection Act of 6/14/01 (McCain, Kennedy).
Issue/Topic: Patients' Bill of Rights.
- S. 1014 Social Security Number Privacy and Identity Theft Prevention Act of 2001 6/12/01 (Bunning, R-KY). A bill to amend the Social Security Act to enhance privacy protection for individuals, to prevent fraudulent misuse of the Social Security account number.
Issue/Topic: Social Security Numbers Privacy
- S. 889 Bipartisan Patients' Bill of Rights Act of 2001 5/15/01 (Frist, Breaux, Jeffords)
Issue/Topic: Bush's Patients' Bill of Rights
- S. 848 Social Security Number Misuse Prevention Act of 2001 3/27/01 (Grassley, Baucus)
Issue/Topic: Social Security Numbers Privacy
- S. 627 Long-Term Care and Retirement Security Act of 2001 3/27/01 (Grassley, Baucus)
Issue/Topic: Long-term care
- S. 451 Social Security Number Protection Act of 2001 3/1/01 (Nelson, D-FL). A bill to establish civil and criminal penalties for the sale or purchase of a social security number.
Issue/Topic: Social Security Numbers Privacy
- S. 382 Genetic Information Nondiscrimination in Health Insurance Act of 2001 2/15/01 (Snowe, DeWine).
Issue/Topic: Genetic Testing
- S. 318 Genetic Nondiscrimination in Health Insurance and Employment Act 2/13/01 (Daschle). A bill to prohibit discrimination on the basis of genetic information with respect to health insurance.
Issue/Topic: Genetic Testing
- S. 450 Financial Institution Privacy Protection Act of 2001 3/1/01 (Nelson, D-FL). A bill to amend the Gramm-Leach-Bliley Act to provide for enhanced protection of nonpublic personal information, including health information.
Issue/Topic: Financial Privacy/Medical Privacy
- S. 30 Financial Information Privacy Protection Act of 2001 1/22/01 (Sarbanes). A bill to strengthen control by consumers over the use and disclosure of their personal financial and health information by financial institution.
Issue/Topic: Financial Privacy, Medical Privacy
- S. 324 Social Security Number Privacy Act of 2001 2/14/01 (Shelby). A bill to amend the GLB Act, to prohibit the sale and purchase of the SSN of an individual by financial institutions, to include SSN's in the definition of nonpublic personal information.
Issue/Topic: Social Security Numbers Privacy



S. 630 Controlling the Assault of Non-Solicited Pornography and Marketing Act of 2001 or CAN SAM Act of 2001 3/27/01 (Burns, Wyden).
Issue/Topic: Anti-spam bill

S. 283 Bipartisan Patient Protection Act of 2001 2/7/01 (McCain, Kennedy)
Issue/Topic: Genetic Testing

S. 19 Protecting Civil Rights for All Americans Act 1/22/01 (Daschle).
Issue/Topic: Genetic Testing

S. 1164 Location Privacy Protection Act 7/11/01 (Edwards). A bill to provide for the enhanced protection of the privacy of location information of users of location-based services and applications, and for other purposes; to the Committee on Commerce, Science, and Transportation.
Topic/Issue: Privacy (wireless locations)

H.R. 583 Privacy Commission Act of 2/13/01 (Rep. Hutchinson, R-AK). A bill to establish the Commission for the Comprehensive Study of Privacy Protection.
Issue/Topic: Privacy

H.R. 347 Consumer Online Privacy and Disclosure Act 1/31/01 (Rep. Green, D-TX). A bill to require the FTC to prescribe regulations to protect the privacy of personal information collected from and about individuals on the Internet, to provide greater individual control over the collection and use of that information.
Issue/Topic: Privacy

H.R. 2421 Jurisdictional Certainty Over Digital Commerce Act 6/28/01 (Stearns, R-FL). To exercise authority under article I, section 8, clause 3 of the Constitution of the United States to clearly establish jurisdictional boundaries over the commercial transactions of digital goods and services conducted through the Internet, and to foster stability and certainty over the treatment of such transactions.
Issue/Topic: E-commerce

H.R. 260 Wireless Privacy Protection Act of 2001 1/30/01 (Rep. Frelinghuysen, R-NJ). A bill to require customer consent to the provision of wireless call location information.
Issue/Topic: Privacy (wireless location)

H.R. 1408 Structured Settlement Protection Act 4/4/01 (Rep. Shaw, R-FL). A bill to amend the Internal Revenue Code of 1986 to impose an excise tax on persons who acquire structured settlement payments in factoring transactions.
Issue/Topic: Financial Privacy

H.R. 1478 Personal Information Privacy Act of 2001 4/4/01 (Rep. Kleczka, D-WI). A bill to protect the privacy of the individuals with respect to the Social Security Number and other personal information and for other purposes.
Issue/Topic: Financial Privacy

H.R. 2341 Class Action Fairness Act of 2001 6/27/01 (Goodlatte, Boucher). To amend the procedures that apply to consideration of interstate class actions to assure fairer outcomes for class members and defendants.
Issue/Topic: Class Action Reform

H.R. 526 Bipartisan Patient Protection Act of 2001 (Ganske). A bill to amend the Public Health Service Act, the employee Retire Income Security Act of 1974, and the Internal Revenue Code of 1986 to protect consumers in managed care plans and other health coverage. (Patients' Rights/Scope of the Bill).



- H.R. 2315 Patients' Bill of Right Act of 2001 (Fletcher). A bill to protect consumers in managed care plans in other health coverage.
- H.R. 112 Electronic Privacy Protection Act 1/3/01 (Rep. Holt). A bill to prohibit the making, importation, exportation, distribution, sale, offer for sale, installation, or use of an information collection device without proper labeling or notice and consent.
Issue/Topic: Online Privacy
- H.R. 89 Online Privacy Protection Act of 2001 1/3/01 (Rep. Frelinghuysen, R-NJ). A bill to require the FTC to prescribe regulations to protect the privacy of personal information collected from and about individuals who are not covered by the Children's Online Privacy Protection Act of 1998 on the Internet, to provide greater individual control over the collection and use of that information.
Issue/Topic: Online Privacy
- H.R. 1017 Anti-Spamming Act of 2001 3/14/01 (Rep. Goodlatte, R-VA). A bill to prohibit the unsolicited e-mail known as "spam."
Issue/Topic: Spam/E-commerce
- H.R. 718 Unsolicited Commercial Electronic Mail Act of 2001 2/14/01 (Rep. Wilson, R-NM). A bill to protect individuals, families, and Internet service providers from unsolicited and unwanted electronic mail.
Issue/Topic: Spam/E-commerce
- H.R. 2036 Social Security Number Privacy and Identity Theft Prevention Act of 2001 5/28/01 (Rep. Shaw, R-FL). A bill to amend the Social Security Act to enhance privacy protections for individuals, to prevent fraudulent misuse of the Social Security account number, and for other purposes.
Issue/Topic: Social Security Numbers Privacy
- H.R. 91 Social Security On-line Privacy Protection Act 1/3/01 (Rep. Frelinghuysen, R-NJ). A bill to regulate the use by interactive computer services of Social Security account numbers and related personally identifiable information.
Issue/Topic: Social Security Numbers Privacy
- H.R. 602 Genetic Non-discrimination in Health Insurance and Employment Act (Slaughter). A bill to prohibit discrimination on the basis of genetic information with respect to health insurance.
- H.R. 1215 Medical Information Protection and Research Enhancement Act of 2001 (Greenwood). A bill to ensure confidentiality with respect to medical records and health care-related information, and for other purposes.



Registrant Name The Northwestern Mutual Client Name Self
Life Insurance Company

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 RET (one per page)

16. Specific lobbying issues

See attachment

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)
Frederic H. Sweet	
Steven M. Radke	
Michael L. Youngman	

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

☒ Check if None

Signature _____ Date August 10, 20

Printed Name and Title Frederic H. Sweet - Senior Vice President



Attachment to RET Lobbying Activity Report

RET

- S. 742 Retirement Security and Savings Act of 2001 4/6/01 (Grassley, Baucus) 54 sponsors.
Issue/Topic: Pension/IRA Reforms
- H.R. 2269 Retirement Security Advice Act of 2001 6/21/01 (Boehner). To amend title I of the Employee Retirement Income Security Act of 1974 and the Internal Revenue Code of 1986 to promote the provision of retirement investment advice to workers managing their retirement income assets.
Issue/Topic: Pensions-Investment Advice
- H.R. 2134 (Rep. Sanders, I-VT) 6/12/01. A bill to amend title IV of the Employee Retirement Income Security Act of 1974 to increase the phase-in-limitation applicable to the guarantee under such title of benefit improvements made prior to plan termination.
Issue/Topic: Pension
- H.R. 2110 Retirement Security Act of 2001 6/7/01 (Rep. Petri R-WI). A bill to provide for the establishment and maintenance of personal Social Security investment accounts under the Social Security system.
Issue/Topic: Social Security Accounts
- H.R. 1731 Social Security Earnings Limit Repeal Act of 2001 5/3/01 (Rep. Sessions, R-TX). To amend title II of the Social Security Act to eliminate the earnings test for individuals who have attained age 62.
Issue/Topic: Social Security Taxes



Registrant Name The Northwestern Mutual Client Name Self
Life Insurance Company

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 TAX (one per page)

16. Specific lobbying issues
See attachment

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

U.S. Senate
U.S. House of Representatives
Internal Revenue Service
Dept. of Treasury

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

Name	Covered Official Position (if applicable)
Frederic H. Sweet	
Steven M. Radke	
Michael L. Youngman	
Kathleen H. Schluter	

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

Signature _____ Date August 10, 200

Printed Name and Title Frederic H. Sweet - Senior Vice President



Registrant Name The Northwestern Mutual Client Name Self
Life Insurance Company

Attachment to TAX Lobbying Activity Report

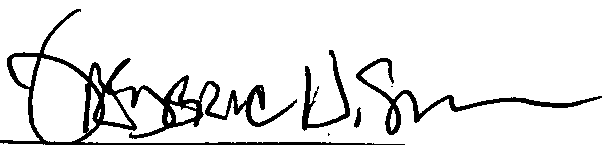
TAX

- S. 992 6/6/01 (Nickles, Conrad). A bill to amend the Internal Revenue Code of 1986 to repeal the provision taxing policy holder dividends of mutual life insurance companies and to repeal the policyholders surplus account provisions.
Issue/Topic: Repeal of 809/815 sections
- S. 676 4/2/01 (Sen Hatch, Orrin G.). A bill to amend the Internal Revenue Code of 1986 to extend permanently the subpart F exemption for active financing income.
- S. 795 4/26/01 (Thompson, Conrad). A bill to amend the Internal Tax Revenue Code of 1986 to allow tax consolidation of life insurance companies with other companies.
Issue/Topic: Tax consolidation for tax insurers
- H.R. 1357 4/3/01 (McCrery). To amend the Internal Revenue Code of 1986 to permanently extend the subpart F exemption for active financing income.
- H.R. 1836 Economic Growth and Tax Relief Reconciliation Act of 2001 6/7/01. A bill to reduce income, gift and estate tax rates and simplify the taxation of retirement plans.
Issue/Topic: Tax cuts
- H.R. 1719 5/3/01 (Rep. Lewis D-GA). A bill to amend the Internal Revenue Code of 1986 to exclude United States savings bond income from gross income if used to pay long-term care expenses.
Issue/Topic: Long-term Care
- H.R. 1514 Structured Settlement Protection Act 4/4/01 (Rep. Shaw, R-FL). A bill to amend the Internal Revenue Code of 1986 to impose an excise tax on persons who acquire structured settlement payments in factoring transactions.
Issue/Topic: Taxes
- H.R. 661 Life Insurance Tax Simplification Act of 2001 2/14/01 (Rep. Houghton, R-NY). A bill to repeal the provision taxing policyholder dividends of mutual life insurance companies and to repeal the policyholders surplus account provisions.
Issue/Topic: Tax Consolidation

IRS Notice 2001-1 Guidance on tax treatment of split dollar plans.

IRS Proposed Regulations Sections 1.401(a), 1.403(b)-2 and 1.408-9 simplifying minimum distribution rules for qualified plans and IRAs.

Signature



Date

August 10, 20

Printed Name and Title

Frederic H. Sweet - Senior Vice President

