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| Clerk of the House of Representatives<br>Legislative Resource Center<br>B-106 Cannon Building<br>Washington, DC 20515 | Secretary of the Senate<br>Office of Public Records<br>232 Hart Building<br>Washington, DC 20510 |
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SECRETARY OF THE SENATE

05 FEB 22 PM 2:19

# LOBBYING REPORT

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

|   |                           |                      |   |
|---|---------------------------|----------------------|---|
| 1. Registrant name<br><b>Smith, Segel &amp; Sowalsky</b><br>Organization        |                           |                      |   |
| 2. Address <input type="checkbox"/> Check if different than previously reported |                           |                      |   |
| Address1  | <b>50 Congress Street</b> | <b>Suite 300</b>     |   |
| City  | <b>Boston</b>             | State <b>MA</b>      | Zip Code <b>02109</b> Country <b>US</b> |
| 3. Principal place of business (if different than line 2)                       |                           |                      |   |
| City  |                           | State                | Zip Code                                |
|   |                           | State/Zip or Country | Country                                 |
| 4a. Contact Name<br>Prefix Full Name  |                           | b. Telephone number  | c. E-mail                               |
| <b>Mr. James W. Segel</b>   |                           | <b>617-523-0600</b>  | <b>jsegel@sssbos.com</b>                |
| 7. Client Name <input type="checkbox"/> Self                                    |                           |                      | 5. Senate ID #                          |
| <b>Investment Company Institute</b>   |                           |                      | <b>35742-12</b>                         |
|   |                           |                      | 6. House ID #                           |
|   |                           |                      | <b>32735001</b>                         |

TYPE OF REPORT 8. Year 2004 Midyear (January 1-June 30)  OR Year End (July 1-December)

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 Act

## INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

|  |   |
|--|---|
| <p align="center"><b>12. Lobbying Firms</b></p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p>Less than \$10,000 <input checked="" type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> ⇨ \$ <u>                    </u></p> <p>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).</p> | <p align="center"><b>13. Organizations</b></p> <p>EXPENSES relating to lobbying activities for this reporting period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> ⇨ \$ <u>                    </u></p> <p><b>14. REPORTING METHOD.</b> Check box to indicate exp accounting method. See instructions for description of op</p> <p><input type="checkbox"/> <b>Method A.</b> Reporting amounts using LDA definitions</p> <p><input type="checkbox"/> <b>Method B.</b> Reporting amounts under section 6033(b) Internal Revenue Code</p> <p><input type="checkbox"/> <b>Method C.</b> Reporting amounts under section 162(e) Internal Revenue Code</p> |
|--|---|

Form C

Printed Name and Title James W. Segel, Partner

V

Registrant Name Smith, Segel & Sowalsky Client Name Investment Company Insti

**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 *Add page to continue specific issues description for this issue* >

H.R. 2179 Structure of Mutual Fund Boards

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

Senate and House of Representatives

18. Name of each individual who acted as a lobbyist in this issue area *Add a page to continue adding lobbyists for t*

| First Name | Name<br>Last Name | Suffix | Covered Official Position (if applicable) |
|------------|-------------------|--------|---|
| James      | W. Segel          |        |   |
|            |                   |        |   |
|            |                   |        |   |
|            |                   |        |   |
|            |                   |        |   |
|            |                   |        |   |
|            |                   |        |   |
|            |                   |        |   |
|            |                   |        |   |
|            |                   |        |   |

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

Printed Name and Title James W. Segel, Partner *Add a page for a diffe*  
  
Filing #4d82a8c7-7d7e-42aa-a8e9-38f750fd3d0a - Page 3 of 6



Registrant Name Smith, Segel & Sowalsky Client Name Investment Company I

**Information Update Page - Complete ONLY where registration information has changed.**

20. Client new address

Address

City State Zip Code Country

21. Client new principal place of business (if different than line 20)

City State Zip Code Country

22. New general description of client's business or activities

**LOBBYIST UPDATE**

23. Name of each previously reported individual who is **no longer** expected to act as a lobbyist for the client

| First Name               | Last Name | Suffix | First Name               | Last Name | Su |
|--------------------------|-----------|--------|--------------------------|-----------|----|
| <input type="checkbox"/> |           |        | <input type="checkbox"/> |           |    |
| <input type="checkbox"/> |           |        | <input type="checkbox"/> |           |    |

**ISSUE UPDATE**

Find the code to select below.

24. General lobbying issues that **no longer** pertain

**AFFILIATED ORGANIZATIONS**

25. Add the following affiliated organization(s)

| Name | Address          | Principal place of Business (city and state or country) |
|------|------------------|---|
|      | Address<br>C/S/Z | City<br>State Country                                   |
|      | Address<br>C/S/Z | City<br>State   |

26. Name of each previously reported organization that is **no longer** affiliated with the registrant or client

|                          |                          |                          |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|--------------------------|--------------------------|--------------------------|

**FOREIGN ENTITIES**

27. Add the following foreign entities

| Name | Street Address<br>City | Address<br>State/Province Country | Principal place of business (city and state or country)<br>City<br>State Country | Amount of contribution for lobbying activities | Ow per clie |
|------|------------------------|-----------------------------------|--|--|-------------|
|      |                        |                                   |  |  |             |

28. Name of each previously reported foreign entity that **no longer** owns, **or** controls, **or** is affiliated with the registrant, affiliated organization

|                          |                          |                          |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Add a page for more

Printed Name and Title James W. Segel, Partner

