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# LOBBYING REPORT

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

1. Registrant Name <b>The Northwestern Mutual Life Insurance Company</b>			
2. Address <input type="checkbox"/> Check if different than previously reported <b>720 East Wisconsin Avenue</b>			
3. Principal Place of Business (if different from line 2) City: <b>Milwaukee</b> State/Zip (or Country) <b>Wisconsin 53202</b>			
4. Contact Name <b>Frederic H. Sweet</b>	Telephone <b>414-299-7319</b>	E-mail (optional)	5. Senate ID # <b>29607-12</b>
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # <b>31296000</b>

8. Year 1999 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	
<p><b>12. Lobbying Firms</b></p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> → \$ _____ Income (nearest \$20,000)</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><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 checked="" type="checkbox"/> → \$ <u>600,000</u> Expenses (nearest \$20,000)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA definitions only</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input checked="" type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p>

Signature \_\_\_\_\_

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

LD-7 (REV. 6/98) PAGE 1 of 12

Registrant Name Insurance Company Client Name Self

**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  
See attachment - page 3

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
Frederic H. Sweet		<input type="checkbox"/>
Steven M. Radke		<input type="checkbox"/>
Michael L. Youngman		<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 February 11, 2000

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

FIN

- S.187 Financial Information Privacy Act of 1999 (Introduced in the Senate). A bill to give customers notice and choice about how their financial institutions share or sell their personally identifiable sensitive financial information, and for other purposes.
- S.900 Financial Services Modernization Act of 1999. A bill to enhance competition in the financial services industry by providing a prudential framework for the affiliation of banks, securities firms, insurance companies, and other financial service providers, and for other purposes.
- S.1195 Financial Information Protection Act of 1999 (Introduced in the Senate). A bill to give customers notice and choice about how their financial institutions share or sell their personally identifiable sensitive financial information, and for other purposes.
- H.R. 10 Financial Services Act of 1999 (Introduced in the House). A bill to enhance competition in the financial services industry by providing a prudential framework for the affiliation of banks, securities firms, and other financial service providers, and for other purposes.

The Northwestern Mutual Life  
 Registrant Name Insurance Company Client Name Self

**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 TNS (one per page)

16. Specific lobbying issues  
 See attachment - pages 5, 6, and 7

17. House(s) of Congress and Federal agencies contacted  Check if None  
 U. S. House of Representatives  
 U. S. Senate  
 Department of Health and Human Services

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

Name	Covered Official Position (If applicable)	New
Frederic H. Sweet		<input type="checkbox"/>
Steven M. Radke		<input type="checkbox"/>
Michael J. Youngman		<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 February 11, 2000

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

INS

- S.6 Patients' Bill of Rights Act of 1999 (Introduced in the Senate). A bill to amend the Public Health Service Act, the Employee Retirement Income Security Act of 1974, and the Internal Revenue Code of 1986 to protect consumers in managed care plans and other health coverage.
- S.35 Long-Term Care Affordability and Availability Act of 1999 (Introduced in the Senate). A bill to amend the Internal Revenue Code of 1986 to allow a deduction for the long-term care insurance costs of all individuals who are not eligible to participate in employer-subsidized long-term care health plans.
- S.36 The American Worker Long-Term Care Affordability Act of 1999.
- S.300 Patients' Bill of Rights Plus Act (Introduced in the Senate). A bill to improve the access and choice of patients to quality, affordable health care.
- S.326 Patients' Bill of Rights Act (Introduced in the Senate). A bill to improve the access and choice of patients to quality, affordable health care.
- S.331 Work Incentives Improvement Act of 1999. A bill to amend the Social Security Act to expand the availability of health care coverage for working individuals with disabilities, to establish a Ticket to Work and Self-Sufficiency Program in the Social Security Administration to provide such individuals with meaningful opportunities to work, and for other purposes.
- S.543 Genetic Information Nondiscrimination in Health Insurance Act of 1999 (Introduced in the Senate). A bill to prohibit discrimination on the basis of genetic information with respect to health insurance.
- S.573 Medical Information Privacy and Security Act (Introduced in the Senate). A bill to provide individuals with access to health information of which they are subject, ensure personal privacy with respect to health care-related information, impose criminal and civil penalties for unauthorized use of protected health information, to provide for the strong enforcement of these rights, and to protect States' rights.
- S.578 Health Care PIN Act (Introduced in the Senate). A bill to ensure confidentiality with respect to medical records and health care-related information, and for other purposes.
- S.881 Medical Information Protection Act of 1999 (Introduced in the Senate). A bill to ensure confidentiality with respect to medical records and health care-related information, and for other purposes.
- S.1069 Battered Women's Economic Security and Safety Act (Introduced in the Senate). A bill to provide economic security and safety for battered women, and for other purposes.
- S.1344 Patients' Bill of Rights Act of 1999 (Placed on the Calendar in the Senate). A bill to amend the Public Health Service Act, the Employee Retirement Income Security Act of 1974, and the Internal Revenue Code of 1986 to protect consumers in managed care plans and other health coverage.

- H.R. 220 Freedom and Privacy Restoration Act of 1999. A bill to amend title II of the Social Security Act and the Internal Revenue Code of 1986 to protect the integrity and confidentiality of Social Security account numbers issued under such title, to prohibit the establishment in the Federal Government of any uniform national identifying number, and to prohibit Federal agencies from imposing standards for identification of individuals on other agencies or persons.
- H.R. 275 Long-Term Care Advancement Act of 1999 (Introduced in the House).
- H.R. 293 Genetic Information Health Insurance Nondiscrimination Act of 1999 (Introduced in the House). A bill to amend the Public Health Service Act and the Employee Retirement Income Security Act of 1974 to prohibit health issuers and group health plans from discriminating against individuals on the basis of genetic information.
- H.R. 306 Genetic Information Nondiscrimination in Health Insurance Act of 1999 (Introduced in the House). A bill to prohibit discrimination against individuals and their family members on the basis of genetic information or a request for genetic services.
- H.R. 357 Violence Against Women Act of 1999 (Introduced in the House). A bill to prevent violence against women, and for other purposes.
- H.R. 358 Patients' Bill of Rights Act of 1999 (Introduced in the House). A bill to amend the Public Health Service Act, the Employee Retirement Income Security Act of 1974, and the Internal Revenue Code of 1986 to protect consumers in managed care plans and other health coverage.
- H.R. 448 Patient Protection Act of 1999 (Introduced in the House). A bill to provide new patient protections under group health plans.
- H.R. 1057 Medical Information Privacy and Security Act (Introduced in the House). A bill to provide individuals with access to health information of which they are a subject, ensure personal privacy with respect to health care-related information, impose criminal and civil penalties for unauthorized use of protected health information, to provide for the strong enforcement of these rights, and to protect States' rights.
- H.R. 1091 Ticket to Work and Self-Sufficiency Act of 1999 (Introduced in the House). A bill to amend the Social Security Act to expand the availability of health care coverage for working individuals with disabilities, to establish a Ticket to Work and Self-Sufficiency Program in the Social Security Administration to provide beneficiaries with disabilities meaningful opportunities to work, and for other purposes.
- H.R. 1111 Federal Civilian and Uniformed Services Long-Term Care Insurance Act of 1999 (Introduced in the House).
- H.R. 1180 Work Incentives Improvement Act of 1999 (Introduced in the House). A bill to amend the Social Security Act to expand the availability of health care coverage for working individuals with disabilities, to establish a Ticket to Work and Self-Sufficiency Program in the Social Security Administration to provide such individuals with meaningful opportunities to work, and for other purposes.
- H.R. 1261 A bill to amend the Internal Revenue Code of 1986 and title XIX of the Social Security Act to promote the purchase of private long-term care insurance by providing tax deductibility, State Medicaid flexibility, and information dissemination.

- H.R. 1450 Personal Information Act of 1999. A bill to protect the privacy of the individual with respect to the Social Security number and other personal information, and for other purposes.
- H.R. 1714 The Electronic Signatures in Global and National
- H.R. 1875 Interstate Class Action Jurisdiction Act of 1999. A bill to amend title 28, United States Code, to allow the application of the principles of Federal diversity jurisdiction to interstate class actions.
- H.R. 1941 Health Information Privacy Act (Introduced in the House). A bill to protect the privacy of personally identifiable health information.
- H.R. 2102 Long-Term Care and Retirement Security Act of 1999 (Introduced in the House).
- H.R. 2370 Domestic Violence Employment Security Act of 1999 (Introduced in the House). A bill to amend the Internal Revenue Code of 1986 to provide that no individual shall be denied unemployment compensation solely on the basis of leaving employment due to a reasonable fear of domestic violence.
- H.R. 2488 Financial Freedom Act of 1999 (Introduced in the House).

Proposed Regulations regarding privacy of medical information issued by the Department of Health and Human Services as required under the Health Information Portability and Accountability Act of 1996.

The Northwestern Mutual Life  
 Registrant Name Insurance Company Client Name Self

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

16. Specific lobbying issues  
 See attachment - pages 9 & 10

17. House(s) of Congress and Federal agencies contacted  Check if None  
 U. S. House of Representatives  
 U. S. Senate  
 Internal Revenue Service  
 Department of Treasury

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

Name	Covered Official Position (if applicable)	New
Frederic H. Sweet		<input type="checkbox"/>
Steven M. Radke		<input type="checkbox"/>
Kathleen H. Schluter		<input type="checkbox"/>
Michael L. Youngman		<input type="checkbox"/>
Jay W. Miller		<input checked="" 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 February 11, 2000

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

TAX

- S.8 Income Security Enhancement Act of 1999 (Introduced in the Senate).
- S.263 Personal Retirement Accounts Act of 1999 (Introduced in the Senate).
- S.646 Retirement Savings Opportunity act of 1999 (Introduced in the Senate).
- S.649 Retirement Savings Opportunity act of 1999 (Introduced in the Senate).
- S.741 Pension Coverage and Portability Act (Introduced in the Senate).
- S.1134 An original bill to amend the Internal Revenue Code of 1986 to allow tax-free expenditures from education individual retirement accounts for elementary and secondary school expenses, to increase the maximum annual amount of contributions to such accounts, and for other purposes.
- S.1380 Senate bill to provide for a study of long-term care needs in the 21st century.
- H.R. 188 A bill to amend the Internal Revenue Code of 1986 to allow penalty-free withdrawals from IRAs for certain purposes, to increase the amount of tax deductible IRA contributions, and for other... (Introduced in the House).
- H.R. 226 Family Retirement Savings Act of 1999 (Introduced in the House). A bill to amend the Internal Revenue Code of 1986 to allow certain individuals a credit against income tax for contributions to individuals retirement accounts.
- H.R. 251 Strengthening Social Security Act of 1999 (Introduced in the House).
- H.R. 252 A bill to amend the Internal Revenue Code of 1986 to remove the requirement of a mandatory beginning date for distributions from individual retirement accounts.
- H.R. 275 Long-Term Care Advancement Act of 1999 (Introduced in the House).
- H.R. 352 A bill to amend the Internal Revenue Code of 1986 to provide additional retirement savings opportunities for small employers, including self-employed individuals (Introduced in the House).
- H.R. 526 Retirement Protection Act of 1999.
- H.R. 554 A bill to amend the Internal Revenue Code of 1986 rollover contributions to individual retirement plans from deferred compensation plans maintained by States and local governments and to allow State and local governments to maintain 401(k) plans.
- H.R. 572 A bill to remove any doubt that split-dollar insurance arrangements are an unwarranted tax avoidance scheme and are prohibited under current law.
- H.R. 616 A bill to amend the Internal Revenue Code of 1986 to permit 401(k) contributions, which would otherwise be limited, by employer contributions to employee stock ownership plans.

- H.R. 630 A bill to amend the Internal Revenue Code of 1986 to reiterate the denial of the charitable contribution deduction for transfers associated with split-dollar insurance arrangements.
- H.R. 874 Individual Social Security Retirement Accounts Act of 1999 (Introduced in the House).
- H.R. 1102 Comprehensive Retirement Security and Pension Reform Act (Introduced in the House).
- H.R. 1525 Independence Contractor Clarification Act of 1999. Bill to amend Internal Revenue Code of 1986 to provide simplified criteria, in lieu of common law rules, for determining whether an individual is an employee or independent contractor and to limit retroactive employment tax reclassifications.
- H.R. 1590 Retirement Security Act of 1999 (Introduced in the House).
- H.R. 1853 Savings Account for Every American Act of 1999 (Introduced in the House).
- H.R. 2488 Financial Freedom Act of 1999 (Introduced in the House).

Rev. Proc. 99-27 Modified Endowment Contract Correction Procedure.

Rev. Proc. 92-95 Revision of section 817(h) correction procedure.

Action on Decision request regarding Conway v. Commissioner, 111 T.C. 350 (1998); acq. 1999-47 IRB.

Work toward repeal of section 809 of the Internal Revenue Code regarding Reduction of Certain Deductions of Mutual Life Insurance Companies.

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 Registrant Name Insurance Company Client Name Self

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

16. Specific lobbying issues

See attachment - page 12

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
<u>Frederic H. Sweet</u>		<input type="checkbox"/>
<u>Stevan M. Radke</u>		<input type="checkbox"/>
<u>Michael L. Youngman</u>		<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 February 11, 2000

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

**TOR**

- S.96 Y2K Act. Bill to regulate commerce between and among the several states providing for the orderly resolution of disputes arising out of computer-based problems related to processing data that includes two-digit expression of the year's date.
- S.353 Class Action Fairness Act of 1999. A bill to provide for class action reform, and for other purposes.
- S.461 Year 2000 Fairness and Responsibility Act. Bill to assure that innocent users and businesses gain access to solutions to the year 2000 problem-related failures through fostering an incentive to settle year 2000 lawsuits.
- S.1138 Y2K Act. Bill to regulate interstate commerce by making provision for dealing with losses arising from year 2000 problem-related failures.
- H.R. 775 Year 2000 Readiness and Responsibility Act. A bill to establish certain procedures for civil actions brought for damages relating to the failure of any device or system to process or otherwise deal with the transition from the year 1999 to the year 2000.

Signature  Date February 11, 2000  
Printed Name and Title Frederic H. Sweet - Senior Vice President

