

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

3/15/02

## LOBBYING REPORT

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

1. Registrant Name O'Brien Calio			
2. Address <input type="checkbox"/> Check if different than previously reported 1350 Eye Street, NW Suite 690 Washington, DC 20005			
3. Principal Place of Business (if different from line 2) City: _____ State/Zip (or Country) _____			
4. Contact Name	Telephone	E-mail (optional)	5. Senate ID #
Celeste Dembowski	(202) 898-4746	cdembowski@ob-cgroup.c	29802-
7. Client Name <input type="checkbox"/> Self			6. House ID #
Securities Industry Association			30108

**TYPE OF REPORT** 8. Year 1999 Midyear (January 1-June 30)  OR Year End (July 1-Decen

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  ⇒ \$ 120,000.00  
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 reporting accounting method. See instructions for description of method.  
 Method A. Reporting amounts using LDA definition  
 Method B. Reporting amounts under section 6033(a) Internal Revenue Code  
 Method C. Reporting amounts under section 162(e) Internal Revenue Code

Signature \_\_\_\_\_

Printed Name and Title Celeste Dembowski Office Administrator



Registrant Name O'Brien Calio Client Name Securities Industry Association

**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 BAN (one per page)

16. Specific lobbying issues

H.R.10, Financial Services Act of 1999, entire bill.  
S.753, H.R.10, Financial Services Act of 1999, entire bill.

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

House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)
Calio, Nicholas E.	Assistant to the President
Chadwick, Kirsten	
McKernan, Kim F.	
Mellody, Charles J.	
Nelson, Patricia A.	
O'Brien, III, Lawrence F.	
Tarplin, Linda E.	

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

Signature \_\_\_\_\_ Date 2/26/02

Printed Name and Title Celeste Dembowski Office Administrator



Registrant Name O'Brien Calio Client Name Securities Industry Association

**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 CPI (one per page)

16. Specific lobbying issues

No specific bill, various securities regulatory issues concerning technology; digital signatures; privacy of customer information.

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)
Calio, Nicholas E.	Assistant to the President
Chadwick, Kirsten	
McKernan, Kim F.	
Mellody, Charles J.	
Nelson, Patricia A.	
O'Brien, III, Lawrence F.	
Tarplin, Linda E.	

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

Check if None

Signature \_\_\_\_\_ Date 2/26/02

Printed Name and Title Celeste Dembowski Office Administrator



Registrant Name O'Brien Calio Client Name Securities Industry Association

**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

H.R.1102, Comprehensive Retirement Security and Pension Reform Act, issues relating to protection of IRA accounts in bankruptcy.  
H.R.1546, Retirement Savings Opportunity Act of 1999, same.  
S.625, Bankruptcy Reform Act of 1999, same.  
S.646, Retirement Savings Opportunity Act of 1999, same.  
S.741, Pension Coverage and Portability Act, same.


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

House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)
Calio, Nicholas E.	Assistant to the President
Chadwick, Kirsten	
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Signature  Date 2/26/02  
Printed Name and Title Celeste Dembowski Office Administrator

