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SECRETARY OF THE SENATE  
PUBLIC RELATIONS  
U.S.

# LOBBYING REPORT

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

02 AUG 14 PM 12:56

1. Registrant Name <b>Covington &amp; Burling</b>			
2. Address <input type="checkbox"/> Check if different than previously reported. <b>1201 Pennsylvania Avenue, NW</b>			
3. Principal Place of Business (if different from line 2)			
City: <b>Washington</b>		State/Zip (or Country) <b>DC 2000</b>	
4. Contact Name <b>John C. Dugan</b>		Telephone <b>(202) 662-5415</b>	5. Senate ID # <b>11195-1178</b>
7. Client Name <input type="checkbox"/> Self <b>SG Cowen Securities Corporation</b>		Email (optional)	6. House ID # <b>31827091</b>

TYPE OF REPORT 8. Year 2002 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

### 12. Lobbying Firms

INCOME relating to lobbying activities for this reporting period was:

Less than \$10,000 ☐

\$10,000 or more ☒ ⇒ \$ 60,000  
Income (nearest \$20,000)

Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income for 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 the reporting period were:

Less than \$10,000 ☐

\$10,000 or more ☐ ⇒ \$ \_\_\_\_\_  
Expenses (nearest \$20,000)

14. REPORTING METHOD. Check box to expense accounting method. See instruction description of options.

- ☐ Method A. Reporting amounts using LDA definitions only
- ☐ Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code
- ☐ Method C. Reporting amounts under 162(c) Internal Revenue Code

Signature \_\_\_\_\_ Date August 14, 2002  
Printed Name and Title John C. Dugan



Registrant Name Covington & BurlingClient Name SG Cowen Securities Corporation

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

**Hearing on broker-dealer regulation**

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

☐ Check if None

**House**

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

Name

Covered Official Position (if applicable)

**John C. Dugan**

**Gerald J. Waldron**

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

☐ Check if None

Signature

Printed Name and Title

**John C. Dugan**

Date

**August 14, 2002**

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