

Clerk of the House of Representatives
Legislative Resource Center
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Washington, DC 20515

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Washington, DC 20510

SECRETARY OF THE SENATE

00 AUG -8 PM 2:38

LOBBYING REPORT

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

1. Registrant Name Association of Private Pension and Welfare Plans			
2. Address <input type="checkbox"/> Check if different than previously reported 1212 New York Avenue, N.W., Suite 1250			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC 20005-3987			
4. Contact Name James A. Klein	Telephone 202-289-6700	E-mail (optional) jklein@apppwr.org	5. Senate ID # 4675
7. Client Name <input type="checkbox"/> Self			6. House ID #

TYPE OF REPORT 8. Year 2000 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 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> ⇒ \$ _____ 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 <input type="checkbox"/> \$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>60,000.00</u> Expenses (nearest \$20,000) 14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options. <input type="checkbox"/> Method A. Reporting amounts using LDA definitions only <input checked="" type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code
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Signature

James A. Klein

Printed Name and Title James A. Klein, President

LD-2 (REV. 6/08)

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Registrant Name APPWP Client Name _____

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 HCR (one per page)

16. Specific lobbying issues

See attached

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

United States Senate
United States House of Representatives
United States Department of Labor
United States Treasury
Health Care Financing Administration

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

Name	Covered Official Position (if applicable)	New
James A. Klein		<input type="checkbox"/>
Maria M. Chazal		<input type="checkbox"/>
Paul W. Dennett		<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 James A. Klein Date 5 August 00
Printed Name and Title James A. Klein, President

6. Registrant Name APPWP Client Name _____

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 RET (one per page)

16. Specific lobbying issues

See attached

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

United States Senate
United States House of Representatives
United States Department of Labor
United States Treasury
Pension Welfare Benefits Administration

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

Name	Covered Official Position (if applicable)	New
James A. Klein		<input type="checkbox"/>
Lynn D. Dudley		<input type="checkbox"/>
James M. Delaplane, Jr.		<input type="checkbox"/>
		<input type="checkbox"/>
John C. Scott		<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 James A. Klein Date 5 August 00
Printed Name and Title James A. Klein, President

Registrant Name APPWP Client Name _____

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

20. Client new address _____

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

City _____ State/Zip (or 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

J. Mel Bass

ISSUE UPDATE

24. General lobbying issues previously reported that no longer pertain _____

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Name	Address	Principal Place of Business (city and state or country)

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

FOREIGN ENTITIES

27. Add the following foreign entities

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client

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

Signature James A. Klein Date 5 August 00

Printed Name and Title James A. Klein, President

Form 113-2 (Rev. 10/98)

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APPWP – The Benefits Association

2000 Retirement Legislative/Lobbying Activities

January 1 – July 31, 2000

H.R. 739, the Retirement Account Portability Act of 1999
H.R. 833, the Bankruptcy Reform Act of 1999
H.R. 1102, the Comprehensive Retirement Security and Pension Reform Act of 1999
H.R. 1176/S. 659, the Pension Right to Know Act of 1999
H.R. 1213, the Employee Pension Portability and Accountability Act of 1999
H.R. 1287 (no title)
H.R. 1381, the Rewarding Performance in Compensation Act of 1999
H.R. 1546, the Retirement Savings Opportunity Act of 1999
H.R. 1590, the Retirement Security Act of 1999
H.R. 1793, the 21st Century Retirement Security Act
H.R. 2190, the Secure Assets for Employees (SAFE) Plan Act of 1999
H.R. 2488, the Financial Freedom Act of 1999
H.R. 2553, the Family Investment Retirement Savings Tax (FIRST) Credit Act of 1999
H.R. 2759, the Older Workers Pension Protection Act of 1999
H.R. 2871, the Youth Financial Education Act of 1999
H.R. 2902, the Pension Benefits Protection and Preservation Act of 1999
H.R. 3047, the Pension Reduction Disclosure Act of 1999
H.R. 3081, the Wage and Employment Growth Act of 1999
H.R. 3246, the Small Business Pension Accessibility Act of 1999
H.R. 3462, the Wealth Through the Workplace Act of 1999

S. 60, the Enhanced Savings Opportunity Act
S. 625, the Bankruptcy Reform Act of 1999
S. 646, the Retirement Savings Opportunity Act of 1999
S. 741, the Pension Coverage and Portability Act of 1999
S. 1300, the Older Worker Pension Protection Act of 1999
S. 1429, the Taxpayer Refund Act of 1999
S. 1541, the 401(k) Full Disclosure Act of 1999
S. 1600, the Older Workers Pension Protection Act of 1999
S. 1640, the Pension Benefits Protection and Preservation Act of 1999
S. 1708, the Pension Reduction Disclosure Act of 1999
S. 1863, the Small Employer Pension Start-Up Incentive Act of 1999
S. 1979, no title

Flexible Workforce

H.R. 1525, The Independent Contractor Clarification Act
H.R. 2298, The Equity for Temporary Workers Act of 1999
H.R. 2299, The ERISA Clarification Act of 1999
H.R. 3490, The Professional Employer Organization Workers Benefits Act of 1999
S. 1530, The Family and Medical Leave Clarification Act

Regulatory:

IRS, DOL, TREASURY, EEOC Projects Regarding Cash Plans
IRS Regulations under Code Section 411(d)(6)
IRS Notice 2000-3, 401(k) Safe Harbor, Multiple Use Test, and Merger & Acquisition Issues
DOL Voluntary Fiduciary Correction Program
IRS Notice 2000-14, Review of New Comparability Plans
IRS Regulations on Transportation Fringe Benefits
DOL Employee Benefit Plan Annual Reporting, Form 5500
IRS Regulatory Guidance Priority List for 2000
DOL Prohibited Transaction Exemption for Cross-Traded Securities
IRS Regulations related to Repeal of Code Section 415(a)
DOL Proposed Prohibited Transaction Exemption for Y2K Loans

APPWP -- The Benefits Association

January 1 -- July 31, 2000

Health Care Legislative/Lobbying Activities

Legislative:

S. 6 -- Patients' Bill of Rights Act of 1999
S. 202 -- Medicare Early Access Act of 1999
S. 240 -- Patients' Bill of Rights Act of 1999
S. 1256 -- Patients' Bill of Rights Act of 1999
S. 1344 -- Patients' Bill of Rights Act of 1999
S. 1650 -- Department of Labor, Health and Human Services and Related Agencies
Appropriations Act
S. 1895 -- Medicare Preservation and Improvement Act of 1999
S. 2448 -- Internet Integrity and Critical Infrastructure Protection Act of 2000
S. 2541 -- Medicare Expansion for Needed Drugs (MEND) Act of 2000
S. 2553 -- Departments of Labor, Health and Human Services and Related Agencies
Appropriations Act
S. 2738 -- Patient Safety and Errors Reduction Act
S. 2743 -- Voluntary Error Reduction and Improvement in Patient Safety Act
S. 2807 -- Medicare Prescription Drug and Modernization Act of 2000

HR 358 -- Patients' Bill of Rights Act of 1999
HR 1304 -- Quality Health-Care Coalition Act of 1999
HR 2824 -- Health Care Quality and Choice Act of 1999
HR 2926 -- Comprehensive Access and Responsibility in Health Care Act of 1999
HR 2990 -- Bipartisan Consensus Managed Care Improvement Act of 1999
HR 4049 -- Privacy Commission Act
HR 4585 -- Medical Financial Privacy Protection Act
HR 4680 -- Medicare Rx 2000 Act

Regulatory:

- Department of Labor Regulations on ERISA Claims Procedure Rule
- Department of Health and Human Services Proposed Regulations on Confidentiality of Health Information
- DOL Reporting Requirement (Form M-1) for MEWAs