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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>O'Brien Cain</b>			
2. Address <input type="checkbox"/> Check if different than previously reported <b>1350 Eye Street, NW Suite 690 Washington DC 20005</b>			
3. Principal Place of Business (if different from line 2) City <b>N/A</b> State/Zip (or Country)			
4. Contact Name <b>Charlotte Baldwin</b>	Telephone <b>2028984746</b>	E-mail (optional)	5. Senate ID # <b>29802-241</b>
7. Client Name <input type="checkbox"/> Self <b>Securities Industry Association</b>	6. House ID # <b>30108015</b>		

**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	
<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 checked="" type="checkbox"/> &gt;&gt; \$ <u>\$120,000.00</u> 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 type="checkbox"/> &gt;&gt; \$ _____ 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 type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p>

Signature Charlotte R. Baldwin Date 8/8/00

Printed Name and Title Charlotte Baldwin - Office Manager Page 1 of 15

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.3886, International Counter-Money Laundering Act of 2000,  
S.753, Financial Services Act of 1999,  
H.R.10, Financial Services Act of 1999,

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)	New
<u>Calio, Nicholas E.</u>	<u>Assistant to the President</u>	<u>No</u>
<u>Chadwick, Kirsten</u>		<u>No</u>
<u>Keating, Thomas</u>		<u>Yes</u>
<u>McKernan, Kim F.</u>		<u>No</u>
<u>Mellody, Charles J.</u>		<u>No</u>
<u>Nelson, Patricia A.</u>		<u>No</u>
<u>O'Brien, III, Lawrence F.</u>		<u>No</u>

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

Signature Charlotte R. Baldwin Date 8/8/00

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Registrant Name: O'Brien Calio

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

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 BUD (one per page)

16. Specific Lobbying issues

FY2000 Administration budget, Proposals, repeal of modification of transaction fees.

H.R.1256, Savings and Investment Relief Act of 1999, repeal or modification of transaction fees.

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)	New
<u>Calio, Nicholas E.</u>	<u>Assistant to the President</u>	<u>No</u>
<u>McKernan, Kim F.</u>		<u>No</u>
<u>Mellody, Charles J.</u>		<u>No</u>
<u>Nelson, Patricia A.</u>		<u>No</u>
<u>O'Brien, III, Lawrence F.</u>		<u>No</u>
<u>Tarplin, Linda E.</u>		<u>No</u>
<u>Chadwick, Kirsten</u>		<u>No</u>

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

Check if None

Signature Charlotte R. Baldwin Date 8/8/00

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Registrant Name: O'Brien Caffo

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Keating, Thomas
18b	Covered Official Position	
18c	New Lobbyist	Yes

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 CPI (one per page)

16. Specific Lobbying issues

No bill, Various Securities regulatory issues concerning technology, digital signatures; and Privacy of customer information., Securities regulatory issues concerning technology, digital signature; and Privacy of customer information.

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)	New
<u>Calio, Nicholas</u>		<u>No</u>
<u>Chadwick, Kirsten</u>		<u>No</u>
<u>Keating, Thomas</u>		<u>Yes</u>
<u>McKernan, Kim F.</u>		<u>No</u>
<u>Mellody, Charles J.</u>		<u>No</u>
<u>Nelson, Patricia A.</u>		<u>No</u>
<u>O'Brien, III, Lawrence F.</u>		<u>No</u>

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

Signature Charlotte R. Baldwin Date 8/8/00

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Registrant Name: O'Brien Calio

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Turpio, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

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 FIN (one per page)

16. Specific Lobbying issues

H.R.4049, Privacy Commission Act.

S.900, Financial Services Modernization Act of 1999,

HR 10, Financial Services Competitiveness Act of 1999, Functional Regulation; commerial and banking affiliation.

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

House of Representatives

Senate

Check if None

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

Name	Covered Official Position (if applicable)	New
<u>Calio, Nicholas E.</u>	<u>Assistant to the President</u>	<u>No</u>
<u>McKernan, Kim F.</u>		<u>No</u>
<u>Melody, Charles J.</u>		<u>No</u>
<u>Nelson, Patricia A.</u>		<u>No</u>
<u>O'Brien, III, Lawrence F.</u>		<u>No</u>
<u>Tarplin, Linda E.</u>		<u>No</u>
<u>Chadwick, Kirsten</u>		<u>No</u>

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

Check if None

Signature Charlotte R. Baldwin Date 8/8/00

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Registrant Name: O'Brien Callio

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Keating, Thomas
18b	Covered Official Position	
18c	New Lobbyist	Yes

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 RET (one per page)

16. Specific Lobbying issues

H.R.1546, Retirement Savings Opportunity Act of 1999, same.

S.646, Retirement Savings Opportunity Act of 1999, same.

H.R.1102, Comprehensive Retirement Security and Pension Reform Act, issues relating to protection of IRA accounts in bankruptcy.

S.741, Pension Coverage and Portability Act, same.

S.625, Bankruptcy Reform Act of 1999, 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)	Now
Chadwick, Kirsten		No
Calio, Nicholas E.	Assistant to the President	No
Kenting, Thomas		Yes
McKernan, Kim F.		No
Mellody, Charles J.		No
Nelson, Patricia A.		No
O'Brien, HL, Lawrence F.		No

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

Check if None

Signature Charlotte R. Baldwin

Date 8/8/00

Printed Name and Title Charlotte Baldwin - Office Manager

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Registrant Name: O'Brien Callio

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

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 TAX (one per page)

16. Specific Lobbying issues

H.R.2020, Tax Relief for Working Americans Act of 1999,  
H.R.618, Gulf War Veterans' Iraqi Claims Protection Act of 1999,  
S.1433, Sales Tax Safety Net and Teacher Funding Act,  
No bill, IRS Restructuring & Reform Act of 1998, issues relating to capital gains and other issues  
P.L.105-277, Division J, The Tax and Trade Relief Extension Act of 1998, Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999,  
H.R.1525, Independent Contractor Clarification Act of 1999,  
H.R.1420, Individual Tax Simplification Act of 1999, Electronic filing.  
H.R.2350, American Values Tax Savings Plan for the 21st Century,  
H.R.1840, Small Savers Act of 1999,

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

Department of Treasury  
House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)	New
Calio, Nicholas E.	Assistant to the President	No
McKernan, Kim F.		No
Mellody, Charles J.		No
Nelson, Patricia A.		No
O'Brien, III, Lawrence F.		No
Tarplin, Linda E.		No
Chadwick, Kirsten		No

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

Signature Charlotte R. Baldwin Date 8/8/00

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Registrant Name: O'Brien Callio

Client Name: Securities Industry Association

Item	Description	Data
16	Lobbying Issues	S.593, Small Savers Act of 1999,
16	Lobbying Issues	S.1429, Taxpayer Refund Act of 1999,
16	Lobbying Issues	H.R.2488, Financial Freedom Act of 1999,
18a	Lobbyist Name	Keating, Thomas
18b	Covered Official Position	
18c	New Lobbyist	Yes

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 TRD (one per page)

16. Specific Lobbying issues  
**H.J.Res.57, Disapproving the extension of nondiscriminatory treatment (normal trade relations treatment) to the products of the People's Republic of China, Preserve US/China trading status**

17. House(s) of Congress and Federal agencies contacted  Check if None  
**Executive Office of the President  
House of Representatives  
Senate**

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

Name	Covered Official Position (if applicable)	New
<u>Calio, Nicholas E.</u>	<u>Assistant to the President</u>	<u>No</u>
<u>McKernan, Kim F.</u>		<u>No</u>
<u>Melody, Charles J.</u>		<u>No</u>
<u>Nelson, Patricia A.</u>		<u>No</u>
<u>O'Brien, III, Lawrence F.</u>		<u>No</u>
<u>Tarplio, Linda E.</u>		<u>No</u>
<u>Chadwick, Kirsten</u>		<u>No</u>

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

Signature Charlotte R. Baldwin Date 8/8/00

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Registrant Name: O'Brien Calif

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Keating, Thomas
18b	Covered Official Position	
18c	New Lobbyist	Yes