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LOBBYING REPORT

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

1. Registrant name

Organization **North American Securities Administrators Association**

2. Address ☐ Check if different than previously reported

Address1 **750 First Street, NE; Suite 1140**

City **Washington**

State **DC**

Zip Code **20002**

Country **US**

3. Principal place of business (if different than line 2)

City

State **DC**

Zip Code

Country

State/Zip or Country

4a. Contact Name

Prefix Full Name

Mrs. **Deborah F. House**

b. Telephone number

202-737-0900

c. E-mail

daf@nasaa.org

5. Senate ID

29460-12

7. Client Name

☒ Self

North American Securities Administrators Association

6. House ID

31734001

TYPE OF REPORT

8. Year **2004**

Midyear (January 1-June 30) ☐

OR

Year End (July 1-December)

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 ☐ ⇨ \$ _____

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 ☒ ⇨ \$ **40,000**

14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options.

- ☒ **Method A.** Reporting amounts using LDA definitions of lobbying activities
- ☐ **Method B.** Reporting amounts under section 6033(b)(8) Internal Revenue Code
- ☐ **Method C.** Reporting amounts under section 162(e) of Internal Revenue Code

Form C

Printed Name and Title **Deborah F. House , Director of Policy**

Registrant Name North American Securities Administrators Client Name North American Securities Administrators

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code and provide additional information as requested. Attach additional page(s) as needed.

15. General issue area code FIN - Financial Institutions/Investments/Securities (one per page)

16. Specific lobbying issues

Add page to continue specific issues description for this issue

HR 2179 - Securities Fraud Deterrence and Investor Restitution Act of 2003
 HR 5011 - Military Personnel Financial Services Protection Act
 The State Modernization and Regulatory Transparency Act - draft
 Federal Preemption of State Securities Regulatory Authority
 Consolidated Appropriations Act, 2005

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

U.S. Senate
 U.S. House of Representatives
 Securities and Exchange Commission

18. Name of each individual who acted as a lobbyist in this issue area Add a page to continue adding lobbyists for this issue

First Name	Name Last Name	Suffix	Covered Official Position (if applicable)
John	Hanley		
Deborah	House		
John	Green		

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

Add a page for a different issue

Registrant Name North American Securities Administrators / Client Name North American Securities Administr

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

20. Client new address

Address

City State Zip Code Country

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

City State Zip Code 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

First Name	Last Name	Suffix	First Name	Last Name	Suffix
[1] Katie	Henke		[3]		
[2]			[4]		

ISSUE UPDATE

Find the code to select below.

24. General lobbying issues that **no longer** pertain

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Name	Address	Principal place of Business (city and state or country)
	Address	City
	C/S/Z	State Country
	Address	City
	C/S/Z	State

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

[1] [2] [3]

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	Overseas client
	Street Address City State/Province Country	City State Country		

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

[1] [3] [5]
[2] [4] [6]

Add a page for more

Printed Name and Title Deborah F. House , Director of Policy

