

LOBBYING REPORT

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

1. Registrant Name:

ERISA INDUSTRY COMMITTEE

2. Address:

1400 L STREET, N.W., SUITE 350, WASHINGTON, DC 20005

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

4. Contact Name: MARK J. UGORETZ

Telephone: 202-789-1400

E-mail (optional): mugoretz@eric.org

Senate ID #: 13803-12

House ID #: 32318000

7. Client Name: ☒ Self

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: ☐ => 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): 360,000.00

14. Reporting Method.

Check box to indicate expense accounting method. See instructions for 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 section 162(e) of the Internal Revenue Code

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:

H.R.1078, Broken Promises Retiree Health Coverage Act of 2001, Entire H.R.1322, Emergency Retiree Health Benefits Protection Act of 2001, Entire H.R.1809, Cancer Screening Coverage Act of 2002, Entire H.R.2658, Health Care Account Act of 2001, Entire H.R.3009, Trade Act of 2002, Health insurance tax credit provisions ONLY H.R.3529, Economic Security and Worker Assistance Act of 2001, Titles VIII-X ONLY (Unemployed workers health insurance provisions H.R.4066, Mental Health Equitable Treatment Act of 2002, Entire H.R.4954, Medicare Modernization and Prescription Drug Act of 2002, Entire S.104, Equity in Prescription Insurance and Contraceptive Coverage Act of 2001, ENTIRE S.318, Genetic Nondiscrimination in Health Insurance and Employment Act, Health Insurance provisions ONLY (Title I) S.543, Mental Health Equitable Treatment Act of 2001, Entire S.590, Relief, Equity, Access, and Coverage for Health (REACH) Act, Entire S.710, Eliminate Colorectal Cancer Act of 2001, Entire S.1209, Trade Adjustment Assistance for Workers, Farmers, Communities, and Firms Act of 2001, Health Insurance Subsidy Provisions ONLY (Title VI) S.1454, Displaced Workers Assistance Act, Entire S.1502, COBRA Plus Act of 2001, Entire S.1995, Genetic Information Nondiscrimination Act of 2002, Health Insurance Nondiscrimination provisions only (Title I) S.2042, Access to Affordable Health Care Act, Entire S.2590, Patient Safety and Quality Improvement Act, Entire S.2625, Medicare Outpatient Prescription Drug Act of 2002, Entire

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

Centers For Medicare and Medicaid Services (CMS)

Council of Economic Advisers

Executive Office of the President

HOUSE OF REPRESENTATIVES

Health & Human Services, Dept of (HHS)

Internal Revenue Service (IRS)

Labor, Dept of (DOL)

Pension & Welfare Benefits Administration

SENATE

Treasury, Dept of

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

Name: CHEN, LANHEE J.

Covered Official Position (if applicable): LEGISLATIVE REPRESENTATIVE

Name: KNETTEL, ANTHONY J.

Covered Official Position (if applicable): N/A

Name: UGORETZ, MARK J.

Covered Official Position (if applicable): N/A

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

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. 333 Bankruptcy Reform Act of 2001; §224. H.R.1026 Increased IRAs for All Act of 2001. H.R.1487 AMT Relief for ISOs; entire bill. H.R.2036 Social Security Number Privacy and Identity Theft Prevention Act of 2001. H.R.2269 Retirement Security Advice Act of 2001; entire bill. H.R.2282 Preservation of Civil Rights Protections Act of 2001; entire bill. H.R.2558 Teacher Voluntary Early Retirement Act of 2001; entire bill. H.R.2695 Treatment of ISOs and ESPPs; entire bill. H.R.2794 AMT Relief for ISOs; entire bill. H.R.2884 Victims of Terrorism Tax Relief Act of 2001; Title I. H.R.2968 Aviation Employee Assistance Relief Act of 2001; entire bill. H.R.3090 Economic Security and Recovery Act of 2001; Title III. H.R.3463 The Pension Protection Act; entire bill. H.R.3488 Retirement Opportunity Expansion Act of 2001; entire bill. H.R.3509 Retirement Account Protection Act of 2001; entire bill. H.R.3622 Emergency Worker and Investor Protection Act of 2002 all. H.R.3623 Employee Savings Protection Act of 2002; all. H.R.3640 Pension Protection and Diversification Act of 2002; all. H.R.3642 401(k) Right to Know Act of 2002, all. H.R.3677 Safeguarding America's Retirement Act of 2002; all. H.R.3669 Employee Retirement Savings Bill of Rights; all. H.R.3762 Pension Security Act of 2002; all. H.R.3657 Employee Pension Freedom Act of 2002; all. H.R.3763 Sarbanes-Oxley Act of 2002; all. H.R.5242 Workplace Stock Options Act of 2002; all. H.R.4931 Retirement Savings Security Act of 2002; all. S. 220 Bankruptcy Reform Act of 2001; §224. S. 848 The Social Security Misuse Prevention Act of 2001; entire bill. S.1055 The Privacy Act of 2001; Titles II, IV. S.1142 AMT Relief for ISOs; entire bill. S.1383 Treatment of ISOs and ESPPs; entire bill. S.1677 Independent Investment Advice Act of 2001; entire bill. S.1838 Pension Protection and Diversification Act of 2001; entire bill. S.1971 National Employee Savings and Trust Equity Guarantee Act; all. S.1992 Protecting America's Pensions Act of 2002; all. S.2190 Worker Investment and Retirement Education Act of 2002; all. S.1969 Pension Security Act of 2002; all. S.1921 Pension Plan Protection Act; all. S.2740 FY03 Treasury-General Government Appropriations Bill; all. S.2766 FY03 Labor-HHS-Education Appropriations Bill; all. S.2707 The Women's Pension Protection Act of 2002, all. S.2460 Shareholder Bill of Rights; all.

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

Centers For Medicare and Medicaid Services (CMS)

Equal Employment Opportunity Commission (EEOC)

Executive Office of the President

HOUSE OF REPRESENTATIVES

Labor, Dept of (DOL)

Pension & Welfare Benefits Administration

Pension Benefit Guaranty Corporation (PBGC)

SENATE

Treasury, Dept of

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

Name: CURABBA, NICHOLAS S.

Covered Official Position (if applicable): N/A

Name: GREGORY, JANICE M.

Covered Official Position (if applicable): N/A

Name: UGORETZ, MARK J.

Covered Official Position (if applicable): N/A

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

Signature: ON FILE Date: Aug 14, 2002

Printed Name and Title: DEBORAH CHIN - DIRECTOR, ADMINISTRATION