



SECRETARY OF THE SENATE Miller
General Counsel

00 FEB -7 AM 10:35

H.D.

January 31, 2000

The Honorable Gary Sisko
Secretary of the Senate
Office of Public Records
232 Hart Senate Office Building
Washington, D.C. 20510

RE: LD-2 for American Bankers Association Securities Association
Senate I.D. #44-12

Dear Mr. Sisko:

Pursuant to the Lobbying Disclosure Act of 1995, I enclose the American Bankers Association Securities Association's LD-2, Lobbying Report, for the second half of 1999.

Sincerely,

A handwritten signature in cursive script, appearing to read "Sarah A. Miller".

Sarah A. Miller

Enclosure

cc: Larry LaRocco
John Gill

1120 Connecticut Avenue, NW ♦ Washington, DC 20036 ♦ Tel: (202) 663-5277 ♦ Fax: (202) 828-4546
ABA Securities Association is an affiliate of the American Bankers Association

Clerk of the House of Representatives
Legislative Resource Center
D-106 Cannon Building
Washington, DC 20515

Secretary of the Senate
Office of Public Records
333 Hart Building
Washington, DC 20510

LOBBYING REPORT

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

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1. Registrant Name American Bankers Association Securities Association			
2. Address <input type="checkbox"/> Check if different than previously reported 1120 Connecticut Avenue N.W.			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) D.C. 20036			
4. Contact Name Sarah A. Miller	Telephone (202) 663-5325	E-mail (optional) SMiller@aba.com	5. Senate ID # 44-12
7. Client Name <input type="checkbox"/> Self	6. House ID # 30467		

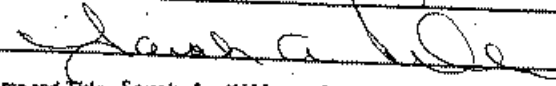
TYPE OF REPORT 8. Year 1999 Midyear (January 1-June 30) OR Year End (July 1-December 31)

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"/> ⇒ \$ _____ <small>Income (nearest \$20,000)</small> 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 type="checkbox"/> ⇒ \$ 367,500 <small>Expenses (nearest \$20,000)</small>
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)(3) of the Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code	

Signature 
Printed Name and Title Sarah A. Miller, General Counsel

LD-2 (REV. 6/98)

PAGE 1 of 2

American Bankers Association
Registrant Name Securities Association Client Name Sarah A. Miller

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

PLEASE SEE ATTACHED

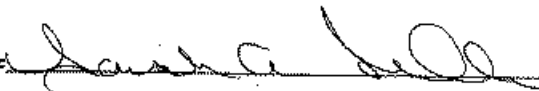
17. House(s) of Congress and Federal agencies contacted Check if None

House of Representatives, Senate, Board of Governors of the Federal Reserve System, Office of the Comptroller of Currency, Federal Deposit Insurance Corporation, Securities and Exchange Commission, Office of Thrift Supervision, Department of Treasury, National Association of Securities Dealers, Municipal Securities Rulemaking Board

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

Name	Covered Official Position (if applicable)	Yes
Lawrence P. LaRocco		<input type="checkbox"/>
James D. McLaughlin		<input type="checkbox"/>
Sarah A. Miller		<input type="checkbox"/>
		<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:  Date: 1/3/00
Printed Name and Title: Sarah A. Miller, General Counsel

16. Specific lobbying is

Legislation:

H.R. 10	FINANCIAL MODERNIZATION ACT, Titles I, II and V
S.900	FINANCIAL MODERNIZATION ACT, Titles I, II and V
	COMMODITY EXCHANGE ACT REAUTHORIZATION OVER THE COUNTER DERIVATIVES SECURITIES MARKETS ENHANCEMENT ACT
H.R. 1161	FINANCIAL CONTRACT NETTING IMPROVEMENT ACT
S.958	FINANCIAL INSTITUTIONS INSOLVENCY IMPROVEMENT ACT OR 1999
S.625	Title IX BANKRUPTCY REFORM ACT OF 1999
H.R. 833	Title X BANKRUPTCY REFORM ACT OF 1999
H.R. 1714	ELECTRONIC SIGNATURES IN GLOBAL AND NATIONAL COMMERCE ACT
S.921	ELECTRONIC SECURITIES TRANSACTIONS ACT

Regulations:

Federal Reserve Board

Section 20 Issues
Derivatives Activities of Banks
Portfolio Investing/Merchant Banking
Regulation K, 62 [Federal Register](#) 68424
Professional Qualification Requirements for Bank Securities Representatives,
61 [Federal Register](#) 68824
Bank Mutual Fund Issues
Section 23A Revisions, 63 [Federal Register](#) 32766, 32768
Regulatory Capital Treatment for Collateralized Transactions
Section 2(g)(2) of the Bank Holding Company Act

Office of the Comptroller of the Currency

Derivatives Activities of Banks
Professional Qualifications Requirements for Bank Securities Representatives, 61 [Federal Register](#)
68824
Bank Mutual Fund Issues
Regulatory Capital Treatment for Collateralized Transactions
Operating Subsidiaries issues involving securities activities, 64 [Federal Register](#) 31677

Federal Deposit Insurance Corporation

Professional Qualifications Requirements for Bank Securities Representatives,
61 [Federal Register](#) 68824
Regulatory Capital Treatment for Collateralized Transactions

Securities and Exchange Commission

Derivatives Activities of Banks
Bank Broker-Dealer Issues
MSRB Rule G-38 on Consultants, 62 [Federal Register](#) 65114
Political Contributions by Investment Advisers, 64 [Federal Register](#) 43556
Insider Trading/Selective Disclosure, 64 [Federal Register](#) 72590

Department of Treasury

Hedge Funds
Derivatives Activities of Banks

Municipal Securities Rulemaking Board

Municipal Consultant Compensation

National Association of Securities Dealers

Broker Dealer Cold Calling Proposal, 63 Federal Register 3010
Bank Broker-Dealer Issues, 63 Federal Register 70173

Form LD-2 (1/96)

Addendum