

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

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

SECRETARY
COUNTY 16

LOBBYING REPORT

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

1. Registrant Name Massachusetts Mutual Life Insurance Company			
2. Address <input type="checkbox"/> Check if different than previously reported 1295 State Street			
3. Principal Place of Business (if different from line 2) City: Springfield State/Zip (or Country) Massachusetts 01111			
4. Contact Name Kenneth S. Cohen	Telephone (413)744-6057	E-Mail (optional) kcohen@massmutual.com	5. Senate ID # 23986-12
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # 31968000

TYPE OF REPORT 8. Year 2001 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 Activities ☐

INCOME OR EXPENSES – Complete Either Line 12 OR Line 13

<p>12. Lobbying Firms</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 type="checkbox"/> ⇔ \$ _____ 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 style="text-align: center;">14.</p>	<p>13. Organizations</p> <p>EXPENSES relating to lobbying activities for this period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input checked="" type="checkbox"/> ⇔ \$ <u>\$720,000.00</u> Expenses (nearest \$20,000)</p> <p>14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description.</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA de</p> <p><input type="checkbox"/> Method B. Reporting amounts under section _____ Internal Revenue Code</p> <p><input checked="" type="checkbox"/> Method C. Reporting amounts under section _____ Internal Revenue Code</p> <p style="text-align: center;">15.</p>
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Signature _____

Printed Name and Title _____

Registrant Name Massachusetts MutualClient Name Self

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

15. General issue area code TOR (one per page)

16. Specific lobbying issues

H.R. 2341, S. 1712, "Class Action Fairness Act of 2001," all provisions of the bill

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

☐ Check if None

House

Senate

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>Ellen Wilkins Ellis</u>	
<u>Kevin M. Sweeney</u>	

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

☒ Check if None

Signature _____

Printed Name and Title _____

Registrant Name Massachusetts MutualClient Name Self**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 UPDATE23. Name of each previously reported individual who is **no longer** expected to act as a lobbyist for the client**Cecile Butler, Edward Duch****ISSUE UPDATE**24. General lobbying issues previously reported that **no longer** pertain**AFFILIATED ORGANIZATIONS**

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15. General issue area code FIN (one per page) (#1 of 3 Code: FIN)

16. Specific lobbying issues

SEC rule-making to exempt federal thrift institutions from Investment Advisers Act of 1940

SEC proposed rule on after-tax returns for investors

SEC challenge to NASD Jurisdiction over Group Variable Annuity Contracts

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

SEC

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>
<u>Ellen Wilkins Ellis</u>
<u>James P. Puhala, III</u>
<u>William B. Fisher</u>
..
..
..

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

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15. General issue area code FIN (one per page) (#2 of 3 Code: FIN)

16. Specific lobbying issues

House and Senate consideration of various proposals related to securities law modernization, including modifi '33 Act, '34 Act and '40 Act

H.R. 1088, "Investor and Capital Market Fee Relief Act," all provisions

S. 143, "Competitive Market Supervision Act of 2001," all provisions

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

☐ Check if None

- House
- Senate

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<u>Kenneth S. Cohen</u>	
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15. General issue area code FIN (one per page) (#3 of 3 Code: FIN)

16. Specific lobbying issues

SEC Proposed Rulemaking on Political Contributions by Certain Investment Advisers (File No. S7-19-99)

Health and Human Services Regulations on the privacy of medical information

H.R. 583, To establish the Commission for the Comprehensive Study of Privacy Protection, all provisions

H.R. 2036, "Social Security Number Privacy and Identity Theft Protection Act of 2001," all provisions

S. 848, "Social Security Number Misuse Prevention Act of 2001," all provisions

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

☐ Check if None

- Senate
- House
- White House
- Health and Human Services

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Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>
<u>Ellen Wilkins Ellis</u>
<u>William B. Fisher</u>
<u>Alison Weiss</u>
<u>Kevin M. Sweeney</u>

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15. General issue area code TAX (one per page) (#1 of 2 Code: TAX)

16. Specific lobbying issues

S. 892, all provision (relating to extending or making permanent the Subpart F exclusion for active financing i overseas)

H.R. 661, S. 992, "Life Insurance Tax Simplification Act of 2001," all provisions

H.R. 909, S. 795, regarding repeal of restrictions on the filing of consolidated returns for life and non-life insu companies.

No bill number, consideration of legislative relief for adverse tax treatment of asset and liability financial man using hedging transactions

H.R. 3529, Economic Security and Recovery bill to provide tax incentives for economic recovery, all provision

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

☐ Check if None

- House

- Senate

Treasury

White House

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

Name	Covered Official Position (if applicable)
..Kenneth S. Cohen	..
..Ellen Wilkins Ellis	..
..Alison Weiss	..
..Kevin M. Sweeney	..
	..
	..

☒ Check if None

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15. General issue area code TAX (one per page) (#2 of 2 Code: TAX)

16. Specific lobbying issues

IRS Notice 2001-10 relating to taxation of split dollar life insurance policies

H.R. 831, S. 627, "Long Term Care and Retirement Security Act of 2001," provisions relating to tax incentive premiums paid for long-term care insurance

H.R. 1357, S. 676, Active financing provision of Subpart F of the Internal Revenue Code

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

- House
- Senate
- Treasury
- IRS
- White House

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>
<u>Cecile A. Butler</u>
<u>Ellen Wilkins Ellis</u>
<u>Alison Weiss</u>
<u>Susan Schechter</u>

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15. General issue area code RET (one per page) (#1 of 2 Code: RET)

16. Specific lobbying issues

H.R. 2269, "Retirement Security Advice Act of 2001," all provisions

H.R. 1836, "Economic Growth and Tax Relief Reconciliation Act of 2001," all provisions (enacted, P.L. 107-1

H.R. 10 (Public Law 107-16), "Comprehensive Retirement Security and Pension Reform Act of 2001," all pro

S. 742, "Retirement Security and Savings Act of 2001," all provisions

S. 1677, "Independent Investment Adviser Act of 2001," all provisions

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

House

- Senate
- Treasury
- Department of Labor
- IRS

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>Ellen Wilkins Ellis</u>	
<u>Alison Weiss</u>	
<u>Kevin M. Sweeney</u>	

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

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15. General issue area code RET (one per page) (**#2 of 2 Code: RET**)

16. Specific lobbying issues

IRS Small Pension Plan Compliance Study

IRS Determination Letter Program

IRS and Treasury consideration of the need for regulatory guidance under the retirement savings provisions enacted Economic Growth and Tax Relief Reconciliation Act

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

House

Senate

Treasury

• Department of Labor

IRS

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

Name	Covered Official Position (if applicable)
Kenneth S. Cohen	

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15. General issue area code HCR (one per page) (#1 of 2 Code: HCR)

16. Specific lobbying issues

Health and Human Services Regulations on the privacy of medical information

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

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

Name	Covered Official Position (if applicable)
<u>William B. Fisher</u>

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

Signature _____

Printed Name and Title _____

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15. General issue area code HCR (one per page) (#2 of 2 Code: HCR)

16. Specific lobbying issues

S. 1052, "Patients Bill of Rights," provisions relating to employer liability for HMO medical care decisions

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

☐ Check if None

House

Senate

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

Name	Covered Official Position (if applicable)
Kenneth S. Cohen

19. State or foreign entity sponsored

☐ Check if None

Signature _____

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15. General issue area code INS (one per page) (#1 of 2 Code: INS)

16. Specific lobbying issues

H.R. 1408, "Financial Services Anti-Fraud Network Act of 2001," all provisions

No Bill Number, an act relating to an optional federal charter for life insurance companies

House consideration of the costs of multi-state regulation of life insurers

H.R. 3210, "Terrorism Risk Protection Act," all provisions

S. 1744, "Terrorism Insurance Act," all provisions

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

House

Senate

White House

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	...
<u>William B. Fisher</u>	...
<u>Kevin M. Sweeney</u>	...
<u>Ellen Wilkins Ellis</u>	...
<u>Edward Duch</u>	...
<u>Alison Weiss</u>	...

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

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16. Specific lobbying issues

WTO negotiations with the People's Republic of China concerning insurance licensing and regulation

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

Office of the U.S. Trade Representative

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

Name	Covered Official Position (if applicable)
<u>Kevin M. Sweeney</u>
<u>Hu Chun</u>

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15. General issue area code BAN (one per page)

16. Specific lobbying issues

S. 1196 (Public Law 107-100), "Small Business Investment Company Amendments Act of 2001," provisions re reduction of fees for Section 7(a) small business loans

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

- Senate

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

Name	Covered Official Position (if applicable)
<u>Kevin M. Sweeney</u>

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Printed Name and Title

Kenneth S. Cohen, Senior Vice President and Deputy General Counsel

