

## LOBBYING REPORT

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

1. Registrant Name:

### FINANCIAL SERVICES ROUNDTABLE

2. Address:  
805 15TH ST NW #600, WASHINGTON, DC 20005

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

4. Contact Name: JONATHAN SMITH  
Telephone: 202-289-4322  
E-mail (optional): jonathan@fsround.org

Senate ID #: 5290-12  
House ID #: 30821000

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): 1,460,000.00

### 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: FIN (one per page)

16. Specific lobbying issues:

Senate Bill Nos. - S. 30, 143, 220, 676, 1712, 1839, 1510, 180, S.J. Res 6, S. 2673, S. 1712, 2600, 2778, 2740, 420, 1971, 1992  
House Bill Nos. - HR 10, 33, 556, 718, 974, 1009, 1017, 1088, 1293, 1357, 1409, 1836, 2052, 2269, 2314, 2781, 3424, 3162, 3210, 2052, 3068, 2730, 3211, 5118, 4931, 3818, 206, 488, 2590, 2500, 3763, 5121, 3211, 3951, 3717, 4931, 2341, 1866, 1886, 1088, 3762, 5025, 333 Executive and Federal Agency Actions: 1) Class Action Reform 2) Privacy 3) Tax Cuts and Retirement Savings 4) Functional Regulation 5) Bankruptcy Reform 6) Technology related legislation 7) Global Financial Issues 8) Subprime Lending 9) Securities Market Reform 10) Insurance Reform 11) GSE Mission Containment 12) Anti-Money Laundering 13) Economic Stimulus 14) Deposit Insurance Reform 15) SEC Fee Reduction 16) Anti-Fraud Network 17) Terrorism Reinsurance 18) Corporate Governance Issues 19) Trade Promotion Authority 20) Real Estate Brokerage 21) Patent Issues

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

Commerce, Dept of (DOC)  
Congressional Budget Office (CBO)  
Executive Office of the President  
Federal Deposit Insurance Commission (FDIC)  
Federal Reserve System  
Federal Trade Commission (FTC)  
General Accounting Office (GAO)  
HOUSE OF REPRESENTATIVES  
Housing & Urban Development, Dept of (HUD)  
Labor, Dept of (DOL)  
Office of Management & Budget (OMB)  
Office of Thrift Supervision (OTS)  
Office of the Comptroller of the Currency (OCC)  
Office of the Vice President of the United States  
President of the U.S.  
SENATE  
Securities & Exchange Commission (SEC)  
Treasury, Dept of  
U.S. Trade Representative (USTR)  
Vice President of the U.S.  
White House Office

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

Name: BARBOUR, ANDY  
Covered Official Position (if applicable): N/A  
Name: BARTLETT, STEVE  
Covered Official Position (if applicable): N/A  
Name: DOREMUS, TED  
Covered Official Position (if applicable): N/A  
Name: LIDDLE, DAVID  
Covered Official Position (if applicable): N/A  
Name: MCGREEVY, LISA S.  
Covered Official Position (if applicable): N/A  
Name: SOLOMAN, MAURA  
Covered Official Position (if applicable): N/A  
Name: TALBOTT, SCOTT E.  
Covered Official Position (if applicable): N/A  
Name: WHITING, RICHARD M.  
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 12, 2002

Registrant Name: FINANCIAL SERVICES ROUNDTABLE Client Name: Self

Printed Name and Title: RICHARD M. WHITING - EXECUTIVE DIRECTOR AND GENERAL COUNSEL