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# LOBBYING REPORT

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

1. Registrant Name Investment Company Institute			
2. Address <input type="checkbox"/> Check if different than previously reported 1401 H Street, NW, Suite 1200			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC 20005			
4. Contact Name Lawrence R. Maffia		Telephone (202) 326-5800	E-mail (optional)
5. Senate ID # 20128-12			6. House ID # 31117000
7. Client Name <input checked="" type="checkbox"/> Self			

**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	
<b>12. Lobbying Firms</b> INCOME relating to lobbying activities for this reporting period was: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> ⇒ \$ _____ 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).	<b>13. Organizations</b> EXPENSES relating to lobbying activities for this reporting period were: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>2,720,000</u> Expenses (nearest \$20,000)  <b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for description of <input type="checkbox"/> Method A. Reporting amounts using LDA definition <input type="checkbox"/> Method B. Reporting amounts under section 6033(e) Internal Revenue Code <input checked="" type="checkbox"/> Method C. Reporting amounts under section 162(e) Internal Revenue Code

Signature \_\_\_\_\_

Printed Name and Title \_\_\_\_\_



Registrant Name Investment Company Institute Client Name Self

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

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

16. Specific lobbying issues

- Antifraud Data Sharing-H.R. 1408
- Bank Interest On Business Checking-H.R. 974; S. 229
- Bankruptcy- H.R. 3211
- Community Reinvestment Act - H.R. 865
- Municipal Bankruptcy - H.R. 333; S. 420

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

- U.S. Senate
- U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
Donald J. Morrissey	
Dean R. Sackett, III	
David Kemps	

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_



Registrant Name Investment Company Institute Client Name Self

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

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

16. Specific lobbying issues

SEC Appropriations - H.R. 2500

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

U.S. Senate  
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
Donald J. Morrissey	
David Kemps	
J. Michael Stern	

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_



Registrant Name Investment Company Institute Client Name Self

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

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

**16. Specific lobbying issues**

- Anti-Money Laundering - H.R. 1114; H.R. 3004; H.R. 3162; S. 1371; S. 1510; S. 3
- Business Method Patents - H.R. 1332
- Effects on Mutual Fund Holdings - H.R. 1409
- Electronic Authentication/Digital Signatures
- Electronic Communications - H.R. 718; S. 630
- Fair Credit Reporting - H.R. 1543
- Financial Privacy - S. 30
- Internet Taxation - H.R. 1410; H.R. 1552; H.R. 1675; S. 1481; S. 245; S. 246; S
- Market Structure

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

- U.S. Senate
- U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
Julie Domenick	
Donald J. Morrissey	
Dean R. Sackett, III	

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_





Investment Company Institute  
Registrant Name \_\_\_\_\_ Client Name Self \_\_\_\_\_

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

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

**16. Specific lobbying issues**

Privacy of Information - H.R. 2036; H.R. 2730; H.R. 3068; S. 848  
SEC Emergency Authority - H.R. 3060  
SEC Fee Reduction - H.R. 1088; S. 143  
Section 17 (a)

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

U.S. Senate  
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
Julie Domenick	
Donald J. Morrissey	
Dean R. Sackett, III	

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_



Registrant Name Investment Company Institute Client Name Self

**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 information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

Education IRAs - S. 1190  
ERISA Reform - H.R. 2269; S. 1677  
IRA Expansion - H.R. 7  
Pension Reform - H.R. 3445; H.R. 3446; H.R. 3463; H.R. 3509; S. 1838  
Taxation of Annuities - H.R. 3320

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

U.S. Senate  
U.S. House of Representatives  
Department of Labor

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

Name	Covered Official Position (if applicable)
Julie Domenick	
Donald J. Morrissey	
David Kemp	
J. Michael Stern	
Dean R. Sackett, III	

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_



Registrant Name Investment Company Institute Client Name Self

**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, provide the information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

Capital Gains - H.R. 168; H.R. 300; H.R. 3090; H.R. 3529  
Social Security Reform - H.R. 2771; H.R. 3497; H.R. 3535

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

U.S. Senate  
U.S. House of Representatives  
Executive Office of the President

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

Name	Covered Official Position (if applicable)
Julie Domenick	
Donald J. Morrissey	
J. Michael Stern	
David Kemp	
Timothy Forde	

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title \_\_\_\_\_



Registrant Name Investment Company Institut Client Name Self

**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 the information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

Effects on Mutual Fund Holdings - H.R. 2052; S. 180  
Financial Services Trade Issues  
Investment Competitiveness - H.R. 1267


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

U.S. Senate  
U.S. House of Representatives  
Department of Treasury

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

Name	Covered Official Position (if applicable)
Donald J. Morrissey	
J. Michael Stern	

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

Signature  Date 2-13-2002

Printed Name and Title Lawrence R. Maffia, Executive Vice President-Administration

