

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 OF
05 MAY -4

LOBBYING REGISTRATION

Lobbying Disclosure Act of 1995 (Section 4)

Has this registrant previously registered with the Office of the Clerk? Yes No

1. Effective Date of Registration 04/01/2001

2. House Identification Number _____

Senate Identification Number _____

REGISTRANT

3. Registrant name Organization The Baptista Group, LLC

Address 2015 Lorraine Avenue

City McLean State VA Zip 22101 US

4. Principal place of business (if different than line 3)

City _____ State _____ Zip _____

5. Telephone number and contact name Prefix Full Name

202.257.4178 Contact Mr. Sam Baptista E-mail sam@sbaptista.com

6. General description of registrant's business or activities
Private consulting firm

CLIENT A Lobbying firm is required to file a separate registration for each client. Organizations employing in-house lobbyists should check the box labeled "Self" and proceed to line 10. Self

7. Client name The Investment Company Institute

Address 1401 H Street, N.W., Suite 1200

City Washington State DC Zip 20005 Country US

8. Principal place of business (if different than line 7)

City _____ State _____ Zip _____ Country _____

9. General description of client's business or activities
National Association of American Mutual Funds

LOBBYISTS

Go to page 3 to add more

10. Name of each individual who has acted or is expected to act as a lobbyist for the client identified on line 7. If any person in this section has served as a "covered executive branch official" or "covered legislative branch official" within two years of filing this registration as a lobbyist for the client, state the executive and/or legislative position(s) in which the person served.

Name			Covered Official Position (if applicable)
First	Last	Suffix	
Samuel J.	Baptista		

0000151963



Registrant Name The Baptista Group, LLC

Client Name The Investment Company Institute

LOBBYING ISSUES FIN - Financial Institutions/Investments/Securiti *Go to page 3 to add more lobbyin*

11. General lobbying issue areas. Select all applicable codes listed in instructions and on the reverse side of Form LD-1, pag

FIN: _____

12. Specific lobbying issues (current and anticipated)

Pension Reform
Extending retirement, education and other savings incentives in 2001 tax package and Capilla Gains reduced tax rates
Universal tax-advantaged savings initiatives
GROWTH Act

AFFILIATED ORGANIZATIONS *Go to page 3 to add more organ*

13. Is there an entity other than the client that contributes more than \$10,000 to the lobbying activities of the registrant in a semiannual period and in whole or in major part plans supervises or controls the registrant's lobbying activities?

No ⇒ Go to line 14. Yes ⇒ Complete the rest of this section for each entity matching criteria above, then proceed to line 14.

Name	Address	Principal place of Business (city and state or country)

FOREIGN ENTITIES *Go to page 3 to add more foreig*

14. Is there any foreign entity that:
a) holds at least 20% equitable ownership in the client or any organization identified on line 13; **OR**
b) directly or indirectly, in whole or in major part, plans, supervises, controls, directs, finances or subsidizes ac the client or any organization identified on line 13; **OR**
c) is an affiliate of the client or any organization identified on line 13 and has a direct interest in the outcome o lobbying activity?

No ⇒ Sign and date the registration. Yes ⇒ Complete the rest of this section for each entit matching the criteria above, then sign and date registration.

Name	Address			Principal place of business (city and state or country)	Amount of contribution for lobbying activities
	Street Address	State/Province	Country		

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Printed Name and Title **Laurie B. Gravatt, Director of Legislative Affairs**

