

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 THE SENATE

02 AUG 14 PM 2: 4

LOBBYING REPORT

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

1. Registrant Name The OB-C Group, LLC			
2. Registrant Address <input type="checkbox"/> Check if different than previously reported Address 1350 Eye Street, NW Suite 690 City Washington State/Zip (or Country) DC 20005 USA			
3. Principal Place of Business (if different from line 2) City _____ State/Zip (or Country) _____			
4. Contact Name Celeste Dembowski	Telephone 202-898-4746	E-mail (optional) cdembowski@ob-cgroup.com	5. Senate ID # 29802-241
7. Client Name <input type="checkbox"/> Self Securities Industry Association			6. House ID # 30108015

TYPE OF REPORT 8. Year 2002 Midyear (January 1-June 30) ☒ OR Year End (July 1-Dec

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 Lobby

INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

<p align="center">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 checked="" type="checkbox"/> >> \$ <u>\$120,000.00</u> 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 align="center">13. Organizations</p> <p>EXPENSES relating to lobbying activities for this reporting period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> >> \$ _____ Expenses (nearest \$20,000)</p> <p>14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description of</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA definition</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6031 of the Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162 of the Internal Revenue Code</p>
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Signature _____ Date 8/14/02

Registrant Name: The OB-C Group, LLCClient Name: Securities Industry Association

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 BAN (one per page)

16. Specific Lobbying issues

H.R.3717, Federal Deposit Insurance Reform Act of 2002, entire bill.**S.1945, Safe and Fair Deposit Insurance Act of 2002, entire bill.****S.30, Financial Information Privacy Protection Act of 2001, entire bill.**

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

☐ Check if None**House of Representatives****Senate**

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

Name	Covered Official Position (if applicable)
Johnson, Michael S.	
Keating, Thomas	
McKernan, Kim F.	
Mellody, Charles J.	
Nelson, Patricia A.	
O'Brien, III, Lawrence F.	
Ruhlen, Mary Ellen	

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

☒ Check if None

Signature _____

Date 8/14/02

Client Name: **Securities Industry Association**

Filing #8a752d3d-4eb8-40e7-9b9e-f21af92ef8a7 - Page 5 of 26

Registrant Name: The OB-C Group, LLCClient Name: Securities Industry Association

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

16. Specific Lobbying issues

H.R.10, Comprehensive Retirement Security and Pension Reform Act of 2001, IRA Expansion.**H.R.1088, Investor and Capital Markets Fee Relief Act, authorizing higher pay for SEC employees, providing structure for securities.****H.R.1357, To amend the Internal Revenue Code of 1986 to permanently extend the subpart F exemption for financing income., entire bill.****H.R.3004, Financial Anti-Terrorism Act of 2001, money laundering, account management for foreign nation****H.R.3162, Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and O****Terrorism (USA PATRIOT ACT) Act of 2001, money laundering, account management for foreign national;****H.R.3763, Corporate and Auditing Accountability, Responsibility, and Transparency Act of 2002, entire bill****H.R.3769, Insider Trading Full Disclosure Act of 2002, entire bill.****H.R.4098, Corporate and Criminal Fraud Accountability Act of 2002, entire bill.**

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

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Date 8/14/02

Registrant Name: The OB-C Group, LLCClient Name: Securities Industry Association

Item	Description	Data
16	Lobbying Issues	S.143, Competitive Market Supervision Act of 2001, authorizing higher pay for SEC employees, providing new fee structure for securities.
16	Lobbying Issues	S.1510, USA Act of 2001 Uniting and Strengthening America Act, international money laundering abatement and anti-terrorism financing.
16	Lobbying Issues	S.1511, International Money Laundering Abatement and Anti-Terrorist Financing Act of 2001, international money laundering abatement and anti-terrorism financing.
16	Lobbying Issues	S.2010, Corporate and Criminal Fraud Accountability Act of 2002, entire bill
16	Lobbying Issues	S.2673, Public Company Accounting Reform and Investor Protection Act of 2002, entire bill.
16	Lobbying Issues	S.631, Comprehensive Retirement Security and Pension Reform Act of 2001, Expansion.
16	Lobbying Issues	S.676, A bill to amend the Internal Revenue Code of 1986 to extend permanently the subpart F exemption for active financing income., entire bill.
16	Lobbying Issues	S.848, Social Security Number Misuse Prevention Act of 2001, to restrict the social security numbers for identification.
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

Registrant Name: The OB-C Group, LLCClient Name: Securities Industry Association

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

16. Specific Lobbying issues

H.R.2579, Internet Gambling Payments Prohibition Act, monitoring the legislative process on internet gamb**H.R.556, Unlawful Internet Gambling Funding Prohibition Act, monitoring the legislative process on intern**

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

☐ Check if None

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Registrant Name: The OB-C Group, LLC

Client Name: **Securities Industry Association**

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

Registrant Name: The OB-C Group, LLCClient Name: Securities Industry Association

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

16. Specific Lobbying issues

H.R.2269, Retirement Security Advice Act of 2001, entire bill.**H.R.3669, Employee Retirement Savings Bill of Rights, entire bill.****H.R.3762, Pension Security Act of 2002, entire bill.**

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

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Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

Registrant Name: The OB-C Group, LLCClient Name: Securities Industry Association

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

16. Specific Lobbying issues

H.R.1836, Economic Growth and Tax Relief Reconciliation Act of 2001, entire bill.**H.R.3, Economic Growth and Tax Relief Act of 2001, entire bill.**

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

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

16. Specific Lobbying issues

H.R.718, Unsolicited Commercial Electronic Mail Act of 2001, anti-spam legislation.**S.630, CAN SPAM Act of 2001, anti-spam legislation.**

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

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