



SECRETARY OF THE SENATE
00 AUG 11 PM 4:20 Sarah A. Miller
General Counsel

August 11, 2000

The Honorable Gary Sisco
Secretary of the Senate
Office of Public Records
232 Hart Senate Office Building
Washington, D.C. 20510

RE: LD-2 for American Bankers Association Insurance Association
Senate I.D. #44-12

Dear Mr. Sisco:

Pursuant to the Lobbying Disclosure Act of 1995, I enclose the American Bankers Association Securities Association's LD-2, Lobbying Report, for the first half of 2000.

Sincerely,

A handwritten signature in cursive script, appearing to read "Sarah A. Miller".

Sarah A. Miller

Enclosure

cc: Beth Climo
John Gill

1120 Connecticut Avenue, NW • Washington, DC 20036 • Tel: (202) 663-5277 • Fax: (202) 828-4546
ABA Securities Association is an affiliate of the American Bankers Association

LOBBYING REPORT

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

| | | | |
|---|---------------------------|--------------------------------------|-------------------------|
| 1. Registrant Name American Bankers Association Securities Association | | | |
| 2. Address <input type="checkbox"/> Check if different than previously reported 1120 Connecticut Avenue, NW | | | |
| 3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) D.C. 20036 | | | |
| 4. Contact Name Sarah A. Miller | Telephone 202-663-5325 | E-mail (optional) SMiller@aba.com | 5. Senate ID # 44-12 |
| 7. Client Name <input type="checkbox"/> Self | | | 6. House ID # 30467 |

TYPE OF REPORT 8. Year 2000 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 | |
|--|--|
| <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"/> ⇒ \$ _____ <small>Income (nearest \$20,000)</small></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>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 checked="" type="checkbox"/> ⇒ \$ <u>180,000</u> <small>Expenses (nearest \$20,000)</small></p> <p>14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA definitions only</p> <p><input checked="" type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p> |

Signature *Sarah A. Miller*
 Printed Name and Title Sarah A. Miller, Director

Registrant Name Securities Association Client Name Sarah A. Miller

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
PLEASE SEE ATTACHED

17. House(s) of Congress and Federal agencies contacted Check if None
House of Representatives, Senate, Board of Governors of the Federal Reserve System, Office of the Comptroller of Currency, Federal Deposit Insurance Corporation, Securities and Exchange Commission, Office of Thrift Supervision, Department of Treasury, National Association of Securities Dealers

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

| Name | Covered Official Position (if applicable) | New |
|---------------------|---|--------------------------|
| Beth Climo (New) | | <input type="checkbox"/> |
| James D. McLaughlin | | <input type="checkbox"/> |
| Sarah A. Miller | | <input type="checkbox"/> |
| Lawrence P. LaRocco | | <input type="checkbox"/> |
| | | <input type="checkbox"/> |
| | | <input type="checkbox"/> |
| | | <input type="checkbox"/> |
| | | <input type="checkbox"/> |

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

Signature *Sarah A. Miller* Date 8/9/00
Printed Name and Title Sarah A. Miller, Director

16. Specific lobbying is

Legislation:

| | |
|-------------------|---|
| Pub L. No 106-102 | Implementation of Gramm-Leach-Bliley Financial Modernization Act, Titles I, II, V |
| H.R. 4541 | Commodity Exchange Act Reauthorization |
| S. 2697 | Commodity Exchange Act Reauthorization |
| H.R. 4203 | Over the Counter Derivatives Systemic Risk Reduction Act of 2000 |
| | Securities Markets Enhancement Act |
| H.R. 1161 | Financial Contract Netting Improvement Act |
| S.958 | Financial Institutions Insolvency Improvement Act of 1999 |
| S.625 | Title IX Bankruptcy Reform Act of 1999 |
| H.R. 833 | Title X Bankruptcy Reform Act of 1999 |
| H.R. 1714 | Electronic Signatures on Global and National Commerce Act |
| S.921 | Electronic Securities Transaction Act |
| H.R. 2924 | Hedge Fund Disclosure Act |

Agencies:

Implementation of Gramm-Leach-Bliley Financial Modernization Act, Pub L. No. 106-102 Titles I, II, V

Form LD-2 (1/96)

Page 3 of 4

Registrant Name Securities Association Client 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 UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

Lawrence P. LaRocco

ISSUE UPDATE

24. General lobbying issues previously reported that no longer pertain

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

| Name | Address | Principal Place of Business (city and state or country) |
|------|---------|--|
| | | |

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

FOREIGN ENTITIES

27. Add the following foreign entities

| Name | Address | Principal place of business (city and state or country) | Amount of contribution for lobbying activities | Ownership percentage in client |
|------|---------|--|---|--------------------------------------|
| | | | | |

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

Signature  Date August 11, 2000

Printed Name and Title Sarah A. Miller