

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  
OFFICE OF PUBLIC RECORDS  
02 MAR 7 1 20 PM

# 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, N.W.			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC 20036			
4. Contact Name	Telephone	E-mail (optional)	5. Senate ID
Sarah A. Miller	202-663-5325	Smiller@aba.com	44-12
7. Client Name <input type="checkbox"/> Self			6. House ID
			30467

**TYPE OF REPORT** 8. Year 2001 Midyear (January 1-June 30)  OR Year End (July 1-

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

## 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 period were:

Less than \$10,000

\$10,000 or more  → \$ 80,000  
Expenses (nearest \$ \_\_\_\_\_)

**14. REPORTING METHOD.** Check box to indicate accounting method. See instructions for descriptive

Method A. Reporting amounts using LDA de

Method B. Reporting amounts under section Internal Revenue Code

Method C. Reporting amounts under section Internal Revenue Code

Signature 

Printed Name and Title Sarah A. Miller, General Counsel

LD-2 (REV. 6/98)



American Bankers Association

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 engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

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 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)
Beth L. Climo	
James D. McLaughlin	
Sarah A. Miller	
J. Kevin A. McKechnie	

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

Signature  Date 2/13/02

Printed Name and Title Sarah A. Miller

Form 1 D-2 (Rev. 6/08)



Registrant: American Bankers Association Securities Association

16. Specific lobbying issues

Legislation:

Pub L. No 106-102	Implementation of Gramm-Leach-Bliley Financial Modernization Act, Titles II, V
H.R. 1088	Investor and Capital Markets Fee Relief Act of 2001 Pub. L. No. 107-123
H.R. 1408	Financial Services Anti Fraud Network Act of 2001 Pub. L. No. 107-123
H.R. 2069	Retirement Security Advice Act of 2001
S.143	Competitive Market Supervision Act of 2001
H.R. 333, S. 420	Bankruptcy Abuse Prevention and Consumer Protection Act of 2001, Title IX
S. 220	Bankruptcy Reform Act of 2001, Title IX
H.R. 11	Financial Contract Netting Improvement Act of 2001

Agencies:

Implementation of Gramm-Leach-Bliley Financial Modernization Act, Pub L. No. 106-102 Titles I, I  
Implementation of USA Patriot Act, Pub L. No. 107-56, Title III

Form LD-2 (1/96)

