

## LOBBYING REPORT

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

1. Registrant Name:

**INVESTMENT CO INST**

2. Address:

1401 H ST NW #1200, WASHINGTON, DC 20005

3. Principal place of business (if different from line 2):

4. Contact Name: DANIEL F. C. CROWLEY

Telephone: 2023265800

E-mail (optional): dcrowley@ici.org

Senate ID #: 20128-12

House ID #:

7. Client Name:  Self

**INVESTMENT COMPANY INSTITUTE**

### TYPE OF REPORT

8. Year 2006 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

#### 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 reporting period were:

Less than \$10,000:

\$10,000 or more:  => Expenses (nearest \$20,000): 2,791,644.00

#### 14. Reporting Method.

Check box to indicate expense accounting method. See instructions for description of options.

**Method A.** Reporting amounts using LDA definitions only

**Method B.** Reporting amounts under section 6033(b)(8) of the Internal Revenue Code

**Method C.** Reporting amounts under section 162(e) of the Internal Revenue Code

**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: ACC (one per page)

16. Specific lobbying issues:

H.R. 5405/S. 2824 Competitive and Open Markets that Protect and Enhance the Treatment of Entrepreneurs Act , provisions related to SOX section 404 Issues related to Tax Reporting for Exempt Interest Dividends

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

HOUSE OF REPRESENTATIVES

SENATE

Treasury, Dept of

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

Name: AUERBACH, DONALD C.

Covered Official Position (if applicable): N/A

Name: CROWLEY, DANIEL F.C

Covered Official Position (if applicable): N/A

Name: LAWSON, KEITH

Covered Official Position (if applicable): N/A

Name: SACKETT, DEAN R. III

Covered Official Position (if applicable): N/A

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

**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: BUD (one per page)

16. Specific lobbying issues:

H.R. 5672 FY 2007 Science, State, Justice, and Commerce Appropriations Act, provisions related to SEC funding

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

HOUSE OF REPRESENTATIVES

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

Name: SACKETT, DEAN R. III

Covered Official Position (if applicable): N/A

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

## 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:

H.R. 1461 Federal Housing Finance Reform Act of 2005, provisions related to GSEs H.R. 3997 Financial Data Protection Act of 2005, provisions related to data security H.R. 4127 Data Accountability and Trust Act, provisions related to data security H.R. 4618 Compliance, Examinations, and Inspections Restructuring Act of 2005, provisions related to SEC authority H.R. 5318 Cyber-Security Enhancement and Consumer Data Protection Act of 2006, provisions related to data security H.R. 5337 Reform of National Security Reviews of Foreign Direct Investments Act, provisions related to CFIUS H.R. 5491 Securities Litigation Attorney Accountability and Transparency Act, provisions related to securities class actions H.R. 5712 Securities and Exchange Commission Authority Restoration Act of 2006, provisions related to hedge fund investment adviser registration H.R. 6079 Hedge Fund Study Act, provisions related to hedge fund regulation S. 190 Federal Housing Enterprise Regulatory Reform Act of 2005, provisions related to GSEs S. 418/H.R.458 Military Personnel Financial Services Protection Act, provisions related to contractual plans S. 687 SPY BLOCK Act, provisions related to data security S. 1326 Notification of Risk to Personal Data Act, provisions related to data security S. 1608 U.S. SAFE WEB Act of 2005, provisions related to data security S. 1789 Personal Data Privacy and Security Act of 2005, provisions related to data security S. 2856 Financial Services Regulatory Relief Act, provisions related to model privacy forum S. 3568 Data Security Act of 2006, provisions related to data security S. 3850/ H.R. 2990 Credit Rating Agency Reform Act of 2006, provisions related to NRSROs H.R. 282 Iran Freedom Support Act, provisions related to disclosure of mutual fund investments in Iran H.R. 436/S. 1396 Increased Capital Access for Growing Business Act, provisions related to business development companies

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

HOUSE OF REPRESENTATIVES  
SENATE

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

Name: AUERBACH, DONALD C.  
Covered Official Position (if applicable): N/A  
Name: CROWLEY, DANIEL F.C  
Covered Official Position (if applicable): N/A  
Name: SACKETT, DEAN R. III  
Covered Official Position (if applicable): N/A

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

### 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: RET (one per page)

16. Specific lobbying issues:

H.R. 4 Pension Protection Act of 2006, provisions related to investment advice, 401(k) auto enrollment, EGTRRA permanency H.R. 2830 Pension Protection Act of 2005, provisions related to investment advice, 401(k) auto enrollment, EGTRRA permanency

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

HOUSE OF REPRESENTATIVES

SENATE

Treasury, Dept of

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

Name: AUERBACH, DONALD C.

Covered Official Position (if applicable): N/A

Name: CROWLEY, DANIEL F.C

Covered Official Position (if applicable): N/A

Name: GUNAS, PETER J III

Covered Official Position (if applicable): N/A

Name: KRAMERICH, LESLIE

Covered Official Position (if applicable): N/A

Name: SACKETT, DEAN R. III

Covered Official Position (if applicable): N/A

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

## 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: TAX (one per page)

16. Specific lobbying issues:

H.R. 2121/S. 1740 Generating Retirement Ownership Through Long-Term Holdings Act of 2005, provisions related to mutual fund capital gain distribution H.R. 5367/S. 2414 Simplification Through Additional Reporting Tax Act of 2006, provisions related to cost basis reporting H.R. 3912 Flexible Retirement Security for Life Act of 2005, provisions related to annuities H.R. 6057 Indexing of Capital Gains H.R. 819/S. 381 Retirement Security for Life Act of 2005, provisions related to annuities H.R. 1956/S. 2721 Business Activity Tax Simplification Act, provisions related to physical presence standard

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

HOUSE OF REPRESENTATIVES

SENATE

Treasury, Dept of

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

Name: AUERBACH, DONALD C.

Covered Official Position (if applicable): N/A

Name: CROWLEY, DANIEL F. C.

Covered Official Position (if applicable): N/A

Name: GUNAS, PETER J III

Covered Official Position (if applicable): N/A

Name: KRAMERICH, LESLIE

Covered Official Position (if applicable): N/A

Name: LAWSON, KEITH

Covered Official Position (if applicable): N/A

Name: SACKETT, DEAN R. III

Covered Official Position (if applicable): N/A

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

Signature: ON FILE Date: Feb 13, 2007

Printed Name and Title: DANIEL F. C. CROWLEY, CHIEF GOVERNMENT AFFAIRS OFF -