



SECRETARY OF THE SENATE

1999 AUG 10 PM 10:15

H. D.

August 6, 1999

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. #44468-00012

Dear Secretary of the Senate:

Pursuant to the Lobbying Disclosure Act of 1995, I enclose the American Bankers Association Insurance Association's LD-2, Lobbying Report, for the first half of 1999.

Sincerely,

A handwritten signature in cursive script that reads "Paul A. Smith".

Paul A. Smith  
Counsel

Enclosure

cc: Larry LaRocco  
John Gill

1120 Connecticut Avenue, N.W. ♦ Washington, D.C. 20036 ♦ TEL: 202-663-8163 ♦ FAX: 202-828-4546  
*The ABA Insurance Association is an affiliate of the American Bankers Association*

Clerk of the House of Representatives Legislative Resource Center B-106 Cannon Building Washington, DC 20515	Secretary of the Senate Office of Public Records 212 Hart Building Washington, DC 20510
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SECRETARY OF THE SENATE

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H. O.

# LOBBYING REPORT

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

1. Registrant Name American Bankers Association Insurance Association (ABAIA)			
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) D.C. 20036			
4. Contact Name Paul A. Smith	Telephone (202) 663-5331	E-mail (optional) Pauls@aba.com	5. Senate ID # 44468-00012
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # 34077000

TYPE OF REPORT 8. Year 1999 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><b>12. Lobbying Firms</b></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"/> ⇔ 5 _____ 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><b>13. Organizations</b></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"/> ⇔ \$ 100,000 _____ Expenses (nearest \$20,000)</p> <p>14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions only.</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(3) 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 \_\_\_\_\_

Printed Name and Title Paul A. Smith, House Counsel

LD-2 (REV. 6/98)

Page 1 of 3

American Bankers Association  
 Registrant Name Insurance Association Client Name Paul A. Smith

**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 INS (one per page)

16. Specific lobbying issues

- (a) H.R. 10 "Financial Services Act of 1999"; Titles 1 and 3; H.R. 665 "Financial Services Modernization Act"; S.900 "Financial Services Modernization Act of 1999"; All provisions relating to the affiliation of banks with insurance companies and to the bank conducting the underwriting and sale of insurance,
- (b) Issues of financial privacy in H.R. 10, H.R. 665 and S.900
- (c) Powers of national banks to sell and underwrite insurance under 12 USC 24 and 92.

17. House(s) of Congress and Federal agencies contacted  Check if None

Senate  
 House of Representatives  
 Department of Treasury

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

Name	Covered Official Position (if applicable)	New
Lawrence P. LaRocco		<input type="checkbox"/>
Paul A. Smith		<input type="checkbox"/>
		<input type="checkbox"/>
		<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 \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Paul A. Smith, House Counsel

American Bankers Association  
 Registrant Name Insurance Association Client Name Paul A. Smith

**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 BAW (one per page)

16. Specific lobbying issues

- (a) H.R. 10 "Financial Services Act of 1999"; Titles 1 and 3; H.R. 665 "Financial Services Modernization Act"; S.900 "Financial Services Modernization Act of 1999"; All provisions relating to the affiliation of banks with insurance companies and to the bank conducting the underwriting and sale of insurance,
- (b) Issues of financial privacy in H.R. 10, H.R. 665 and S.900
- (c) Powers of national banks to sell and underwrite insurance under 12 USC 24 and 92.

17. House(s) of Congress and Federal agencies contacted  Check if None

Senate  
 House of Representatives  
 Department of Treasury

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

Name	Covered Official Position (if applicable)	Yes
Lawrence P. LaRocco		<input type="checkbox"/>
Paul A. Smith		<input type="checkbox"/>
		<input type="checkbox"/>
		<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 Paul Alan Smith Date August 10, 1999  
 Printed Name and Title Paul A. Smith, House Counsel