

01 FEB 14 PM 1:13

LOBBYING REPORT

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

1. Registrant Name Ryan, Phillips, Utrecht, & MacKinnon			
2. Address <input type="checkbox"/> Check if different than previously reported 1133 Connecticut Avenue, NW, Suite 300			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC 20036			
4. Contact Name Rodney Hoppe	Telephone 202-293-1177	E-mail (optional)	5. Senate ID #
7. Client Name <input type="checkbox"/> Self Investment Company Institute	6. House ID # 30680029		

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	
12. Lobbying Firms INCOME relating to lobbying activities for this reporting period was: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input checked="" type="checkbox"/> \$ <u>40,000</u> 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 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> \$ _____ Expenses (nearest \$20,000) 14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options. <input type="checkbox"/> Method A. Reporting amounts using LDA definitions only <input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature Rodney C. Hoppe

Printed Name and Title Rodney Hoppe, Legislative Associate

Registrant Name Ryan, Phillips, Utrecht & MacKinnon

Client Name Investment Company Institute

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.10, Financial Services Act, provisions related to regulation of mutual fund industry.
H.R.665, Financial Services Act, provisions related to regulation of mutual fund industry.
H.R.823, Financial Services Competitive Enhancement Act, all provisions.
S. 900, Financial Services Modernization Act of 1999, all provisions.

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

U.S. House
U.S. Senate
Executive Office of the President

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

Name	Covered Official Position (if applicable)	New
Matthew Hawkins		<input type="checkbox"/>
Rodney Hoppe		<input type="checkbox"/>
Jeffrey M. MacKinnon		<input type="checkbox"/>
William D. Phillips		<input type="checkbox"/>
Mark Planning		<input type="checkbox"/>
Thomas M. Ryan		<input type="checkbox"/>
Joseph V. Vasapoli		<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 Rodney Hoppe- Legislative Associate

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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 CPI (one per page)

16. Specific lobbying issues

- H.R. 850, Security and Freedom through Encryption Act, all provisions.
- H.R. 1714, Electronic Signatures in Global and National Commerce Act, all provisions.
- S. 761, Millenium Digital Commerce Act, all provisions.
- H.R. 1858, Consumer and Investor Access to Information Act, all provisions.

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

- U.S. House
- U.S. Senate
- Executive Office of the President

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

Name	Covered Official Position (if applicable)	New
Matthew Hawkins		<input type="checkbox"/>
Rodney Hoppe		<input type="checkbox"/>
Jeffrey M. MacKinnon		<input type="checkbox"/>
William D. Phillips		<input type="checkbox"/>
Mark Planning		<input type="checkbox"/>
Thomas M. Ryan		<input type="checkbox"/>
Joseph V. Vasapoli		<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 Rodney Hoppe- Legislative Associate

Registrant Name Ryan, Phillips, Utrecht & MacKinnon Client Name Investment Company Institute

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

16. Specific lobbying issues
NONE

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

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

Name	Covered Official Position (if applicable)	New
Matthew Hawkins		<input type="checkbox"/>
Rodney Hoppe		<input type="checkbox"/>
Jeffrey M. MacKinnon		<input type="checkbox"/>
William D. Phillips		<input type="checkbox"/>
Mark Planning		<input type="checkbox"/>
Thomas M. Ryan		<input type="checkbox"/>
Joseph V. Vasapoli		<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 Rodney Hoppe- Legislative Associate

Page 4 of 6

Registrant Name Ryan, Phillips, Urecht & MacKinnon Client Name Investment Company Institute

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
NONE

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

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

Name	Covered Official Position (if applicable)	New
Matthew Hawkins		<input type="checkbox"/>
Rodney Hoppe		<input type="checkbox"/>
Jeffrey M. MacKinnon		<input type="checkbox"/>
William D. Phillips		<input type="checkbox"/>
Mark Planning		<input type="checkbox"/>
Thomas M. Ryan		<input type="checkbox"/>
Joseph V. Vasapoli		<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 Rodney Hoppe- Legislative Associate

Page 5 of 6

Registrant Name Ryan, Phillips, Utrecht & MacKinnon Client Name Investment Company Institute

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
NONE

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

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

Name	Covered Official Position (if applicable)	New
Matthew Hawkins		<input type="checkbox"/>
Rodney Hoppe		<input type="checkbox"/>
Jeffrey M. MacKinnon		<input type="checkbox"/>
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Mark Planning		<input type="checkbox"/>
Thomas M. Ryan		<input type="checkbox"/>
Joseph V. Vasapoli		<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 _____

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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:

Matthew Hawkins

ISSUE UPDATE

24. General lobbying issues previously reported that no longer pertain:

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organizations(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 if more than \$10,000	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 _____

Printed Name and Title Rodney Hoppe, Legislative Associate