

99 AUG 16 PM 12:20

LOBBYING REPORT

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

1. Registrant Name <u>Investment Company Institute</u>			
2. Address <input type="checkbox"/> Check if different than previously reported <u>1401 H Street, NW, Suite 1200</u>			
3. Principal Place of Business (if different from line 2) City: <u>Washington</u> State/Zip (or Country) <u>DC 20005</u>			
4. Contact Name <u>Lawrence R. Maffia</u>	Telephone <u>202/326-5800</u>	E-mail (optional)	5. Senate ID # <u>20128-12</u>
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # <u>31117000</u>

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	
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 type="checkbox"/> ⇒ \$ _____ 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 checked="" type="checkbox"/> ⇒ \$ <u>2,440,000</u> 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 checked="" type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature _____

Printed Name and Title _____

Registrant Name Investment Company Institute Client Name Self

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

Financial Services Modernization - H.R. 10, 665, 823; S. 900
Municipal Bankruptcy - H.R. 833; S. 625

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

U.S. House of Representatives
U.S. Senate

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

Name	Covered Official Position (if applicable)	New
Julie Domenick		<input type="checkbox"/>
Leslie Woolley	Deputy to Chairman for Policy, FDIC	<input type="checkbox"/>
Donald Morrissey		<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 _____

Registrant Name Investment Company Institute Client Name Self

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

Mutual Funds Flow-through - Administration FY 2000 Budget
SEC Appropriations - Administration FY 2000 Budget

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

U.S. House of Representatives
U.S. Senate

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

Name	Covered Official Position (if applicable)	New
<u>Leslie Woolley</u>	<u>Deputy to Chairman Policy, EDIC</u>	<input type="checkbox"/>
<u>David Kemps</u>		<input type="checkbox"/>
<u>J. Michael Stern</u>		<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

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Printed Name and Title _____

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

16. Specific lobbying issues

Electronic Authentication/Digital Signature - H.R. 1572, 1714; S. 761, 921
 Financial Privacy - H.R. 1450, 1585, 1858, 1929, 30, 516, 517; S. 187, 809
 Impact on Mutual Fund Holdings - H.R. 1462, 1471
 Internet Taxation - S. 328
 Mutual Fund Disclosure - H.R. 1089
 Year 2000 and Financial Institutions - H.R. 1502; 775, S. 461, 96
 Charitable Giving Disclosure - H.R. 887

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

- U.S. House of Representatives
- U.S. Senate
- Department of Treasury

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

Name	Covered Official Position (if applicable)	New
Adie Duerick		<input type="checkbox"/>
Leslie Woolley	Deputy to the Chairman for Policy, FDIC	<input type="checkbox"/>
Tim Forde		<input type="checkbox"/>
Donald Morrissey		<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

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

16. Specific lobbying issues

- Cross-Trades
- Education IRAs - H.R. 7, 922; S. 14, 474
- Individual Savings - H.R. 106, 1546, 252, 876; S. 62, 646, 649
- IRA Expansion - H.R. 188; S. 1379, 646
- Limited Scope Audit Repeal - S. 476
- Pension Expansion/Simplification - H.R. 1102, 1213, 1590, 352, 526, 739; S. 132, 1357, 476, 60, 646, 649, 741, 8
- Pension Protection in Bankruptcy - S. 625
- Personal Investment Plans - H.R. 874, S. 263
- Retirement Security

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

- U.S. House of Representatives
- U.S. Senate
- Department of Labor
- Department of Treasury

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

Name	Covered Official Position (if applicable)	New
Julie Domenick		<input type="checkbox"/>
Leslie Woolley	Deputy to the Chairman for Policy, FDIC	<input type="checkbox"/>
Tim Forde		<input type="checkbox"/>
J. Michael Stern		<input type="checkbox"/>
David Kemps		<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

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Printed Name and Title _____

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

16. Specific lobbying issues

Mutual Fund Flow-through - H.R. 2018, S. 1164
Social Security Reform - H.R. 1, 1793, 871; S. 21
Retirement-Related Tax Proposals

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

U.S. House of Representatives
U.S. Senate
Department of Treasury

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

Name	Covered Official Position (if applicable)	New
<u>Julie Domenick</u>		<input type="checkbox"/>
<u>Leslie Woolley</u>	<u>Deputy to Chairman for Policy, FDIC</u>	<input type="checkbox"/>
<u>Tim Porde</u>		<input type="checkbox"/>
<u>J. Michael Stern</u>		<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

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

16. Specific lobbying issues

Effects on Mutual Funds - Tax Treaties
Encryption Export - H.R. 850; S. 798

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

U.S. House of Representatives
U.S. Senate

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

Name	Covered Official Position (if applicable)	New
<u>Leslie Woolley</u>	<u>Deputy to the Chairman for Policy, FDIC</u>	<input type="checkbox"/>
<u>J. Michael Stern</u>		<input type="checkbox"/>
<u>Donald Morrissey</u>		<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 8/6/99
Printed Name and Title Lawrence R. Maffia, Senior Vice President