

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
02 FEB 11

LOBBYING REPORT

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

| | | | |
|---|----------------------------------|--|------------------------------------|
| 1. Registrant Name The OB-C Group, LLC | | | |
| 2. Registrant Address <input type="checkbox"/> Check if different than previously reported Address 1350 Eye Street, NW Suite 690 City Washington State/Zip (or Country) DC 20005 USA | | | |
| 3. Principal Place of Business (if different from line 2) City State/Zip (or Country) | | | |
| 4. Contact Name Celeste Dembowski | Telephone 202-898-4746 | E-mail (optional) cdembowski@ob-cgroup.com | 5. Senate ID # 29802-241 |
| 7. Client Name <input type="checkbox"/> Self Securities Industry Association | 6. House ID # 30108015 | | |

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

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 Lobbyi

INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

| 12. Lobbying Firms | 13. Organizations |
|--|---|
| 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>\$120,000.00</u> Income (nearest \$20,000) | 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 |
| 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). | 14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description of <input type="checkbox"/> Method A. Reporting amounts using LDA definiti <input type="checkbox"/> Method B. Reporting amounts under section 6033 the Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(Internal Revenue Code |

Signature _____ Date 2/14/02



Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

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.10, Comprehensive Retirement Security and Pension Reform Act of 2001, IRA Expansion.

H.R.1088, Investor and Capital Markets Fee Relief Act, authorizing higher pay for SEC employees, providing structure for securities.

H.R.1357, To amend the Internal Revenue Code of 1986 to permanently extend the subpart F exemption for financing income., entire bill.

H.R.3004, Financial Anti-Terrorism Act of 2001, money laundering, account management for foreign nation

H.R.3162, Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and O

Terrorism (USA PATRIOT ACT) Act of 2001, money laundering, account management for foreign national;

S.143, Competitive Market Supervision Act of 2001, authorizing higher pay for SEC employees, providing no structure for securities.

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

House of Representatives

Senate

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

| Name | Covered Official Position (if applicable) |
|----------------------------------|---|
| Johnson, Michael S. | |
| Keating, Thomas | |
| McKernan, Kim F. | |
| Mellody, Charles J. | |
| Nelson, Patricia A. | |
| O'Brien, III, Lawrence F. | |
| Ruhlen, Mary Ellen | |

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

Signature _____ Date 2/14/02

Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

| Item | Description | Data |
|------|---------------------------|---|
| 16 | Lobbying Issues | S.1510, USA Act of 2001 Uniting and Strengthening America Act, international money laundering abatement and anti-terrorism financing. |
| 16 | Lobbying Issues | S.631, Comprehensive Retirement Security and Pension Reform Act of 2001, Expansion. |
| 16 | Lobbying Issues | S.676, A bill to amend the Internal Revenue Code of 1986 to extend permanent the subpart F exemption for active financing income., entire bill. |
| 18a | Lobbyist Name | Tarplin, Linda E. |
| 18b | Covered Official Position | |
| 18c | New Lobbyist | No |



Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

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 GAM (one per page)

16. Specific Lobbying issues
H.R.2579, Internet Gambling Payments Prohibition Act, monitoring the legislative process on internet gamb
H.R.556, Unlawful Internet Gambling Funding Prohibition Act, monitoring the legislative process on interne

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

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

| Name | Covered Official Position (if applicable) |
|----------------------------------|---|
| Johnson, Michael S. | |
| Keating, Thomas | |
| McKernan, Kim F. | |
| Mellody, Charles J. | |
| Nelson, Patricia A. | |
| O'Brien, III, Lawrence F. | |
| Ruhlen, Mary Ellen | |

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

Signature _____ Date 2/14/02

Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

| Item | Description | Data |
|------|---------------------------|-------------------|
| 18a | Lobbyist Name | Tarplin, Linda E. |
| 18b | Covered Official Position | |
| 18c | New Lobbyist | No |



Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

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 TEC (one per page)

16. Specific Lobbying issues

H.R.718, Unsolicited Commercial Electronic Mail Act of 2001, anti-spam legislation.
S.630, CAN SPAM Act of 2001, anti-spam legislation.

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

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

| Name | Covered Official Position (if applicable) |
|----------------------------------|---|
| Johnson, Michael S. | |
| Keating, Thomas | |
| McKernan, Kim F. | |
| Mellody, Charles J. | |
| Nelson, Patricia A. | |
| O'Brien, III, Lawrence F. | |
| Ruhlen, Mary Ellen | |

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

Signature _____ Date 2/14/02



Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

| Item | Description | Data |
|------|---------------------------|-------------------|
| 18a | Lobbyist Name | Tarplin, Linda E. |
| 18b | Covered Official Position | |
| 18c | New Lobbyist | No |



Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

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

Calio, Nicholas

Chadwick, Kirsten

ISSUE UPDATE

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

BAN, BUD, CPI, RET, TRD

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(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 for lobbying activities |
|------|---------|--|---|
| | | | |

28. Name of each previously reported foreign entity that **no longer** owns, or controls, or is affiliated with the registrant or affiliated organization

Signature  Date 2/14/02

