

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 OF THE  
01 AUG 14 PM

## LOBBYING REPORT

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

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

**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
<b>INCOME</b> 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)	<b>EXPENSES</b> 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)
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).	<b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for description of: <input type="checkbox"/> <b>Method A.</b> Reporting amounts using LDA definition <input type="checkbox"/> <b>Method B.</b> Reporting amounts under section 6033 the Internal Revenue Code <input type="checkbox"/> <b>Method C.</b> Reporting amounts under section 162(c) Internal Revenue Code

Signature \_\_\_\_\_

*Charlotte Baldwin*

Date 8/7/2001



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, providing new fee 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.**

**S.143, Competitive Market Supervision Act of 2001, providing new fee structure for securities.**

**S.631, Comprehensive Retirement Security and Pension Reform Act of 2001, IRA Expansion.**

**S.676, A bill to amend the Internal Revenue Code of 1986 to extend permanently the subpart F exemption for financing income., entire bill.**

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)
<b>Calio, Nicholas</b>	
<b>Chadwick, Kirsten</b>	
<b>Johnson, Michael</b>	
<b>Keating, Thomas</b>	
<b>McKernan, Kim F.</b>	
<b>Mellody, Charles J.</b>	
<b>Nelson, Patricia A.</b>	

19. Interest of each foreign entity in the specific issues listed on line 16 above

Check if None

Signature



Date 8/7/2001



Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	O'Brien, III, Lawrence F.
18b	Covered Official Position	
18c	New Lobbyist	No
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  
**House of Representatives**  
**Senate**

Check if None

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

Name	Covered Official Position (if applicable)
<b>Calio, Nicholas</b>	
<b>Chadwick, Kirsten</b>	
<b>Johnson, Michael</b>	
<b>Keating, Thomas</b>	
<b>McKernan, Kim F.</b>	
<b>Mellody, Charles J.</b>	
<b>Nelson, Patricia A.</b>	

19. Interest of each foreign entity in the specific issues listed on line 16 above

Check if None

Signature

*Charlotte Baldwin*

Date 8/7/2001

**Charlotte Baldwin - Office Manager**

Filing #be45ad48-7aa9-4289-b027-e843e62bc8f1 - Page 7 of 10



Registrant Name: The OB-C Group, LLC

Client Name: Securities Industry Association

Item	Description	Data
18a	Lobbyist Name	O'Brien, III, Lawrence F.
18b	Covered Official Position	
18c	New Lobbyist	No
18a	Lobbyist Name	Tarplin, Linda E.
18b	Covered Official Position	
18c	New Lobbyist	No

