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03 FEB 24

LOBBYING REPORT

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

1. Registrant Name Charles Schwab & Co., Inc.			
2. Address <input type="checkbox"/> Check if different than previously reported 555 12th Street, NW Suite 740N			
3. Principal Place of Business (if different from line 2) City: Washington State/Zip (or Country) DC			
4. Contact Name Marianne Kerin	Telephone (202) 638-3750	E-mail (optional) marianne.kerin@schwab.co	5. Senate ID # 34
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # 33

TYPE OF REPORT 8. Year 2002 Midyear (January 1-June 30) ☐ OR Year End (July 1-D
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 Lobby

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 period were: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input checked="" type="checkbox"/> → \$ <u>\$480,500.00</u> Expenses (nearest \$
14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description. <input type="checkbox"/> Method A. Reporting amounts using LDA definition <input type="checkbox"/> Method B. Reporting amounts under section 162(e) Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) Internal Revenue Code	

Signature



Printed Name and Title

Frank J. Kelly, SVP & Head, Government Affairs

LD-2 (REV. 6/98)

Registrant Name Charles Schwab & Co., Inc. Client Name _____

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each cod information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

HR 718, Unsolicited Commercial Electronic Mail Act of 2001
 HR 1017, Anti-Spamming Act of 2001
 HR 4678, Consumer Privacy Protection Act of 2002

S 2201, Online Personal Privacy Act
 S 630, CAN SPAM Act of 2002

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

US House of Representatives
 US Senate

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

Name	Covered Official Position (if applicable)
Kim Quish	
Mike Townsend	
Frank Kelly	

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

Signature

F. Kelly

Date 02/07/03

Printed Name and Title Frank Kelly, SVP & Head, Government Affairs

Form LD-2 (Rev.6/98)

Pa

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each co information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

HR 168, To amend the Internal Revenue Code of 1986 to allow individuals an exclusion from gross income for certain amounts of capital gains distributions from regulated investment companies.
 HR 3763, Corporate Auditing Accountability, Responsibility and Transparency Act of 2202
 HR 3162, USA Patriot Act of 2001
 HR 3529, Economic Security and Worker Assistance Act
 HR 1017, Anti-Spamming Act of 2001
 HR 4678, Consumer Privacy Protection Act of 2002

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

US House of Representatives
 US Senate

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

Name	Covered Official Position (if applicable)
Kim Quish	
Mike Townsend	
Frank Kelly	

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

☐ Check if None

Signature

Frank Kelly

Date 02/07/03

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

16. Specific lobbying issues

S 2673, Public Company Accounting Reform and Investor Protection Act of 2002
S 2201, Online Personal Privacy Act
S 630, CAN SPAM Act of 2002

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

US House of Representatives
US Senate

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

Name	Covered Official Position (if applicable)
Kim Quish	
Mike Townsend	
Frank Kelly	

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

Signature

F. J. Kelly

Date 02/07/03

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Form LD-2 (Rev. 6/98)

P1

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

16. Specific lobbying issues

HR 2695, to amend the Internal Revenue Code of 1986 to clarify the treatment of incentive stock options and employee stock purchase plans.

S 1940, Ending the Double Standard for Stock Options Act

S 1383, A Bill to amend the Internal Revenue Code of 1986 to clarify the treatment of incentive stock options and employee stock purchases.

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

US House of Representatives

US Senate

Treasury Department

The White House

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

Name	Covered Official Position (if applicable)
Kim Quish	
Mike Townsend	
Frank Kelly	

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

Signature

F. J. Kelly

Date 02/07/03

Printed Name and Title Frank Kelly, SVP & Head, Government Affairs

Form LD-2 (Rev.6/98)

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

16. Specific lobbying issues

HR 10, Comprehensive Retirement Security and Pension Reform Act of 2001
 HR 2269, Retirement Security Advice Act of 2001
 HR 3762, Pension Security Act
 HR 553 Protecting America's Savings Act
 S 1677, Independent Investment Advice Act of 2001
 S 1971, National Employee Savings and Trust Equity Guarantee Act
 S 1992, The Protecting America's Pensions Act of 2002
 S. 1978, Retirement Security Advice Act of 2002

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

US House of Representatives
 US Senate

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

Name	Covered Official Position (if applicable)
Kim Quish	
Mike Townsend	
Frank Kelly	

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 BAN (one per page)

16. Specific lobbying issues

HR 3717, Federal Deposit Insurance Reform Act of 2002
 HR 3951, Financial Services Regulatory Relief Act of 2002
 HR 3763, Corporate and Auditing Accountability, Responsibility and Transparency Act of 2002/ Sarbanes-Oxley Act 2002

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

US House of Representatives

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

Name	Covered Official Position (if applicable)
Laurie Schaffer	
Greg Polley	
Frank Kelly	

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

Signature

F. J. Kelly

Date 02/07/03

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