

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
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SECRETARY OF THE SENATE

05 FEB 23 AM 10:36

**LOBBYING REPORT**

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

1. Registrant name  Investment Company Institute			
2. Address <input type="checkbox"/> Check if different than previously reported  1401 H Street, NW, Suite 1200  Washington DC 20005 U			
3. Principal place of business (if different than line 2)  City State/Zip or Country			
4a. Contact Name  Mr. Lawrence R. Maffia		b. Telephone number  (202) 326-5857	c. E-mail  lmaffia@ici.org
			5. Senate ID #  21028-
7. Client Name <input checked="" type="checkbox"/> Self  Investment Company Institute		6. House ID #  311170	

**TYPE OF REPORT** 8. Year 2004 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 Act **INCOME OR EXPENSES - Complete Either Line 12 OR Line 13**

<b>12. Lobbying Firms</b>  <b>INCOME</b> relating to lobbying activities for this reporting period was:  Less than \$10,000 <input type="checkbox"/>  \$10,000 or more <input type="checkbox"/> ⇨ \$ _____  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>13. Organizations</b>  <b>EXPENSES</b> relating to lobbying activities for this report were:  Less than \$10,000 <input type="checkbox"/>  \$10,000 or more <input checked="" type="checkbox"/> ⇨ \$ <u>2,060,000</u>  <b>14. REPORTING METHOD.</b> Check box to indicate exact accounting method. See instructions for description of options.  <input type="checkbox"/> <b>Method A.</b> Reporting amounts using LDA definitions <input type="checkbox"/> <b>Method B.</b> Reporting amounts under section 6033(b) Internal Revenue Code <input checked="" type="checkbox"/> <b>Method C.</b> Reporting amounts under section 162(e) Internal Revenue Code	
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Edit &gt;

Signature  Date 2/14/2005Printed Name and Title Lawrence R. Maffia, Executive Vice President & COO



Registrant Name Investment Company Institute Client Name Investment Company Institute

**LOBBYINGACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which th 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 BUD - Budget/Appropriations (one per page)

16. Specific lobbying issues

H.R. 4754, FY 2005 Commerce-Justice-State-Judiciary & Related Agencies Appropriations Act, provisions relating to the FY 2005 SEC appropriation.  
H.R. 4818, FY 2005 Omnibus Appropriations Act, provisions relating to the FY 2005 SEC Appropriation & Independent Chair.  
S. 2809, Koby Mandell Act, provisions relating to the FY 2005 SEC Appropriation & Independent Chair.

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)
Dean R. Sackett III	
Donald C Auerbach	

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

Signature \_\_\_\_\_ Date \_\_\_\_\_



Registrant Name Investment Company Institute Client Name Investment Company Institute

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

15. General issue area code FIN - Financial Institutions/Investments/Securities (one per page)

16. Specific lobbying issues

H.R. 10, 9/11 Recommendations Implementation Act, provisions relating to SEC emergency authority.  
 S. 1508, Federal Housing Enterprise Regulatory Reform Act, provisions relating to GSEs.  
 S. 2905, Military Personnel Financial Services Protection Act, provisions relating to contractual plans.  
 H.R. 2575, Secondary Mortgage Market Enterprises Regulatory Improvement Act, provisions relating to GSEs.  
 Hedge Fund Regulation

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)
	Daniel F. C. Crowley	
	Dean R. Sackett	
	Donald C. Auerbach	

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

Printed Name and Title Lawrence R. Maffia, Executive Vice President & COO

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Registrant Name Investment Company Institute Client Name Investment Company Institute

**ADDENDUM for General Lobbying Issue Area** FIN

16. Specific lobbying issues (continued from previous page)

**Market Structure**

H.R. 2179, Securities Fraud Deterrence & Investor Restitution Act, provisions relating to independent Chair Section 15(c), and 12b-1 fees.

H.R. 2420, Mutual Fund Integrity & Fee Transparency Act, provisions relating to mutual fund regulation.

H.R. 5011, Military Personnel Financial Services Protection Act, provisions relating to contractual plans.

H.R. 3170, Increased Capital Access for Growing Business Act, provisions relating to BDCs.

H.R. 3574, Stock Option Accounting Reform Act, provisions relating to stock option expensing.





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

16. Specific lobbying issues

H.R. 1776, Pension Preservation & Savings Expansion Act, provisions relating to increased IRA contributions, minimum distributions and annuities.  
H.R. 4714, Retirement Savings Account Act, provisions relating to RSAs.  
S. 1698, Retirement Security Advice Act, provisions relating to investment advice.

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)
Daniel F. C. Crowley	
Dean R. Sackett	
Donald C Auerbach	

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 TAX - Taxation/Internal Revenue Code (one per page)

16. Specific lobbying issues

S. 2050, Permanent Extension of Education Savings Provisions in Economic Growth & Tax Relief Reconciliation Act of 2001.  
 H.R. 1989, Deferral of Capital Gains Tax for Mutual Funds  
 H.R. 4520, Americans Jobs Creation Act, provisions relating to foreign currency conversions.

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

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15. General issue area code TRD - Trade (Domestic & Foreign) (one per page)

16. Specific lobbying issues

H.R. 4759, U.S. - Australia Free Trade Agreement Implementation Act, provisions relating to financial services trade agreements.  
H.R. 4520, Americans Job Creation Act, provisions relating to flow-through.

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

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