

SECRETARY OF THE SENATE  
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 H. D.

# LOBBYING REGISTRATION

Lobbying Disclosure Act of 1995 (Section 4)

Check if this is an Amended Registration  1. Effective Date of Registration \_\_\_\_\_  
 House Identification Number 30821000 Senate Identification Number 5290-12

## REGISTRANT

Registrant name The Financial Services Roundtable  
 Address 805 15th Street, N.W. #600  
 City Wash. State D.C. Zip 20005  
 Principal place of business (if different from line 3)  
 City \_\_\_\_\_ State/Zip (or Country) \_\_\_\_\_  
 Telephone number and contact name  
 ( ) 202 288-4322 Contact \_\_\_\_\_ E-mail (optional) \_\_\_\_\_  
 General description of registrant's business or activities \_\_\_\_\_

**CLIENT** A Lobbying firm is required to file a separate registration for each client. Organizations employing in-house lobbyists should check the box labeled "Self" and proceed to line 10.  Self

Client name \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
 Principal place of business (if different from line 7)  
 City \_\_\_\_\_ State/Zip (or Country) \_\_\_\_\_  
 General description of client's business or activities \_\_\_\_\_

## LOBBYISTS

Name of each individual who has acted or is expected to act as a lobbyist for the client identified on line 7. If any person listed in this section has served as a "covered executive branch official" or "covered legislative branch official" within two years of first acting as a lobbyist for the client, state the executive and/or legislative position(s) in which the person served.

Name	Covered Official Position (if applicable)
Lisa S. McGreevy	
Edward J. Hill	
Scott E. Talbott	

**LOBBYING ISSUES**

11. General lobbying issue areas. Select all applicable codes listed in instructions and on the reverse side of Form LD-1, page 1.

12. Specific lobbying issues (current and anticipated)

**AFFILIATED ORGANIZATIONS**

13. Is there an entity other than the client that contributes more than \$10,000 to the lobbying activities of the registrant in a semiannual period and in whole or in major part plans, supervises or controls the registrant's lobbying activities?

- No => Go to line 14.  Yes ↓ Complete the rest of this section for each entity matching the criteria above; then proceed to line 14.

Name	Address	Principal Place of Business (city and state or country)

**FOREIGN ENTITIES**

14. Is there any foreign entity that:

- a) holds at least 20% equitable ownership in the client or any organization identified on line 13; **OR**
- b) directly or indirectly, in whole or in major part, plans, supervises, controls, directs, finances or subsidizes activities of the client or any organization identified on line 13; **OR**
- c) is an affiliate of the client or any organization identified on line 13 and has a direct interest in the outcome of the lobbying activity?

- No => Sign and date the registration.  Yes ↓ Complete the rest of this section for each entity matching the criteria above, then sign and date the registration.

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client

Signature Richard M. Whiting Date \_\_\_\_\_

Printed Name and Title Richard M. Whiting, Executive Director & General Counsel

Registrant Name Financial Services Roundtable 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

Senate Bills Nos: S.187, 761, 900, 921, 1090, 1214  
House Bills Nos: H.R. 10,22,30,174,192,665,775,800,1714,2245,2488  
Executive Branch Actions: 1) financial modernization leg and deposit insurance premiums; 2)regulatory relief; 3) Glass Stegall Reform Act  
4) tax legislation; 5)technology related leg and 7)preemption legislation.

17. House(s) of Congress and Federal agencies contacted  Check if None  
U.S. Senate, U.S. House or Representatives, Dept of the Treasury (including OTS & OCC), FDIC, Justice Dept., HUD, SEC, FRB, FHEB, EXIM Bank

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

Name	Covered Official Position (if applicable)	Now
Steve Bartlett		<input type="checkbox"/>
Lisa S. McGreevy		<input checked="" type="checkbox"/>
Richard M. Whiting		<input type="checkbox"/>
Edward J. Hill		<input type="checkbox"/>
Scott E. Talbott		<input checked="" 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 Richard M. Whiting Date 02-14-00

Printed Name and Title Richard M. Whiting, Executive Director & General Counsel

**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

Todd J. Dorny  
 Alfred M. Pollard

**ISSUE UPDATE**

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

**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	Ownership percentage in client

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

Signature Richard M. Whiting Date 02-14-00

Printed Name and Title Richard M. Whiting, Executive Director & General Counsel

Form LD-2 (Rev. 6/98) Page \_\_\_\_ of \_\_\_\_