

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
---	--

REC  
SECRETARY  
PUBLIC**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			
3. Principal Place of Business (if different from line 2) City: _____ State/Zip (or Country) _____			
4. Contact Name	Telephone	E-mail (optional)	5. Senate
Lawrence R. Maffia	(202) 326-5800		20128-
7. Client Name <input checked="" type="checkbox"/> Self			6. House I 3111700

**TYPE OF REPORT** 8. Year 2002 Midyear (January 1-June 30)  OR Year End (July 1
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 Lob**INCOME OR EXPENSES - Complete Either Line 12 OR Line 13**

<p align="center"><b>12. Lobbying Firms</b></p> <p><b>INCOME</b> relating to lobbying activities for this reporting period was:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> ⇒ \$ _____ Income (nearest \$20,000)</p> <p>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).</p>	<p align="center"><b>13. Organizations</b></p> <p><b>EXPENSES</b> relating to lobbying activities for the period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input checked="" type="checkbox"/> ⇒ \$ <u>2,860,000</u> Expenses (nearest \$20,000)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for descriptions.</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA d</p> <p><input type="checkbox"/> Method B. Reporting amounts under section Internal Revenue Code</p> <p><input checked="" type="checkbox"/> Method C. Reporting amounts under section Internal Revenue Code</p>
--	--

Signature

---

Printed Name and Title \_\_\_\_\_

LD-2 (REV. 6/98)

Registrant Name Investment Company Inst. Client Name self

**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 BAN (one per page)

16. Specific lobbying issues

Bankruptcy - H.R. 333

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

Check if None

U.S. Senate  
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
..Donald J. Morrissey..	.....
..David Kemp..	.....
.....	.....
	.....
	.....
	.....

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

Check if None

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

Printed Name and Title \_\_\_\_\_

Form LD-2 (Rev.6/98)

Page

Registrant Name Investment Company Inst. Client Name self

**LOBBYING ACTIVITY.** 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 (one per page)

16. Specific lobbying issues

SEC Appropriations - S. 2778

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

Check if None

U.S. Senate  
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
...Donald...J...Morrissey...	.....
...Dean R. Sackett, III...	.....
...David Kemps...	.....
.....	.....
.....	.....
	.....
	.....

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

Check if None

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



Registrant Name Investment Company Inst. Client Name self

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant is 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 (one per page)

16. Specific lobbying issues

- Accounting Reform - H.R. 3763; P.L. 107-204
- Anti-Money Laundering - P.L. 107-56
- Electronic Authentication/Digital Signatures
- Electronic Communications - H.R. 718; S. 630
- Fair Credit Reporting - H.R. 1543
- GSEs - H.R. 1409
- Market Structure
- Portfolio Disclosure
- Privacy of Information - H.R. S. 3100; S. 848
- Proxy Disclosure

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

Check if None

- U.S. Senate
- U.S. House of Representatives
- Federal Trade Commission
- Department of Treasury

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

Name	Covered Official Position (if applicable)
Julie Domenick	
Donald J. Morrissey	
Timothy Forde	
Dean R. Sackett, III	

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

Check if None

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

Printed Name and Title \_\_\_\_\_

Form LD-2 (Rev.6/98)

Page 4



Registrant Name Investment Company Inst. Client Name self

**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 RET (one per page)

16. Specific lobbying issues

Education Savings - H.R. 5203  
ERISA Reform - H.R. 2269; H.R. 3762; S. 1677; S. 1971; S. 1978; S. 1992  
Pension Reform - H.R. 3669; H.R. 4931; H.R. 5553; H.R. 5558; H.R. 7; P.L. 107  
S. 1969

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

U.S. Senate  
U.S. House of Representatives  
Department of Treasury  
Executive Office of the President

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

Name	Covered Official Position (if applicable)
...Julie..Domenick...	.....
...Donald J. Morrissey...	.....
...David Kemps...	.....
...Keith Lawson	.....
	.....
	.....
	.....
	.....

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

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



Registrant Name Investment Company Inst. Client Name Self

**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 TAX (one per page)

16. Specific lobbying issues

Capital Gains - H.R. 168  
Corporate Inversion - H.R. 5059; S. 2119

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

Check if None

U.S. Senate  
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
..... Donald J. Morrissey	
..... J. Michael Stern	
..... Keith Lawson	
..... Cathy Barre'	
.....	
.....	
.....	

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

Check if None

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

Printed Name and Title \_\_\_\_\_

Form LD-2 (Rev.6/98)

Page .

Registrant Name Investment Company Inst. Client Name self

**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 code information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

Financial Services Trade Issues  
Investment Competitiveness - H.R. 5095

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

U.S. Senate  
U.S. House of Representatives

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

Name	Covered Official Position (if applicable)
J. Michael Stern	
.....	
.....	
.....	
.....	
.....	
.....	
.....	
.....	
.....	

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

Signature  Date 2/12/2003

Printed Name and Title Lawrence R. Maffia, Executive Vice President - Administration

