

00 FEB 15 AM 9:03

# LOBBYING REPORT

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

1. Registrant Name <b>O'Brien Callio</b>			
2. Registrant Address <input type="checkbox"/> Check if different than previously reported Address <b>1350 Eye Street, NW Suite 690</b> City <b>Washington</b> State/Zip (or Country) <b>DC 20005</b>			
3. Principal Place of Business (if different from line 2) City <b>N/A</b> State/Zip (or Country)			
4. Contact Name <b>Charlotte Baldwin</b>		Telephone <b>2028984746</b>	E-mail (optional) 5. Senate ID # <b>29802-241</b>
7. Client Name <input type="checkbox"/> Self <b>Securities Industry Association</b>		6. House ID # <b>30108015</b>	

**TYPE OF REPORT** 8. Year 1999 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 Activity

INCOME OR EXPENSES - Complete Either Line 12 OR Line 13	
<p><b>12. Lobbying Firms</b></p> <p>INCOME 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 checked="" type="checkbox"/> &gt;&gt; \$ <u>\$120,000.00</u> 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><b>13. Organizations</b></p> <p>EXPENSES relating to lobbying activities for this reporting period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> &gt;&gt; \$ _____ Expenses (nearest \$20,000)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA definitions only</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code</p>

Signature Lawrence O'Brien Date 2/14/00  
 Printed Name and Title Lawrence F. O'Brien, III - Partner Page 1 of 9



Registrant Name: O'Brien Calio

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 BAN (one per page)

16. Specific Lobbying issues  
H.R.10, Financial Services Act of 1999,  
S.753, Financial Services Act of 1999,

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)	New

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

Signature \_\_\_\_\_ Date 2/14/00

Printed Name and Title Lawrence F. O'Brien, III - Partner Page 2 of 9

Registrant Name: O'Brien Callio

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 BUD (one per page)
16. Specific Lobbying issues  
**FY2000 Administration budget, Proposals, repeal of modification of transaction fees,  
H.R.1256, Savings and Investment Relief Act of 1999, repeal or modification of transaction fees.**

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

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

Name	Covered Official Position (if applicable)	New
Callio, Nicholas E.	Assistant to the President	No
McKernan, Kim F.		No
Melody, Charles J.		No
Nelson, Patricia A.		No
O'Brien, III, Lawrence F.		No
Tarplin, Linda E.		No

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

Signature \_\_\_\_\_ Date 2/14/00

Printed Name and Title Lawrence F. O'Brien, III - Partner Page 3 of 9

Registrant Name: O'Brien Calla

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 CPI (one per page)

16. Specific Lobbying issues

No bill, Various Securities regulatory issues concerning technology, digital signatures; and Privacy of customer information., Securities regulatory issues concerning technology, digital signature; and Privacy of customer information.

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

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

Name	Covered Official Position (if applicable)	New

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

Signature \_\_\_\_\_ Date 2/14/00

Printed Name and Title Lawrence F. O'Brien, III - Partner Page 4 of 9

Registrant Name: O'Brien Calio

Client Name: Securities Industry Association

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

16. Specific Lobbying issues

**HR 10, Financial Services Competitiveness Act of 1999, Functional Regulation; commercial and banking affiliation.  
S.900, Financial Services Modernization Act of 1999,**

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)	New
Calio, Nicholas E.	Assistant to the President	No
Chadwick, Kirsten		No
McKernan, Kim F.		No
Melody, Charles J.		No
Nelson, Patricia A.		No
O'Brien, III, Lawrence F.		No
Tarplin, Linda E.		No

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

Signature \_\_\_\_\_ Date 2/14/00

Printed Name and Title Lawrence F. O'Brien, III - Partner Page 5 of 9

Registrant Name: O'Brien Calio

Client Name: Securities Industry Association

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

16. Specific Lobbying issues  
H.R.1102, Comprehensive Retirement Security and Pension Reform Act, Issues relating to protection of IRA accounts in bankruptcy.  
H.R.1546, Retirement Savings Opportunity Act of 1999, same.  
S.625, Bankruptcy Reform Act of 1999, same.  
S.646, Retirement Savings Opportunity Act of 1999, same.  
S.741, Pension Coverage and Portability Act, same.

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)	New

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

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Printed Name and Title Lawrence F. O'Brien, III - Partner Page 6 of 9

Registrant Name: O'Brien Calio

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 TAX (one per page)

16. Specific Lobbying issues

H.R.1420, Individual Tax Simplification Act of 1999, Electronic filing.  
H.R.1525, Independent Contractor Clarification Act of 1999,  
H.R.1840, Small Savers Act of 1999,  
H.R.2020, Tax Relief for Working Americans Act of 1999,  
H.R.2350, American Values Tax Savings Plan for the 21st Century,  
H.R.2488, Financial Freedom Act of 1999,  
H.R.618, Gulf War Veterans' Iraqi Claims Protection Act of 1999,  
No bill, IRS Restructuring & Reform Act of 1988, issues relating to capital gains and other issues  
P.L.105-277, Division J, The Tax and Trade Relief Extension Act of 1998, Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999,

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

Department of Treasury  
House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)	New
Calio, Nicholas E.	Assistant to the President	No
Chadwick, Kirsten		No
McKernan, Kim F.		No
Melody, Charles J.		No
Nelson, Patricia A.		No
O'Brien, III, Lawrence F.		No
Tarplin, Linda E.		No

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

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Registrant Name: O'Brien Callio

Client Name: Securities Industry Association

Item	Description	Data
16	Lobbying Issues	S.1429, Taxpayer Refund Act of 1999,
16	Lobbying Issues	S.1433, Sales Tax Safety Net and Teacher Funding Act,
16	Lobbying Issues	S.593, Small Savers Act of 1999,

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

16. Specific Lobbying issues

**H.J.Res.57, Disapproving the extension of nondiscriminatory treatment (normal trade relations treatment) to the products of the People's Republic of China, Preserve US/China trading status**

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

Executive Office of the President  
House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)	New
Calio, Nicholas E.	Assistant to the President	No
Chadwick, Kirsten		No
McKernan, Kim F.		No
Melody, Charles J.		No
Nelson, Patricia A.		No
O'Brien, III, Lawrence F.		No
Tarpilin, Linda E.		No

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

Signature \_\_\_\_\_ Date 2/14/00

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