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**LOBBYING REPORT**

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

1. Registrant Name The Bankers Roundtable (changed to The Financial Services Roundtable)			
2. Address <input type="checkbox"/> Check if different than previously reported 805 15th Street, N.W., Suite 600			
3. Principal Place of Business (if different from line 2) City: Washington, D.C. State/Zip (or Country) 20005			
4. Contact Name Diana L. Wodger	Telephone 202/289-4322	E-mail (optional) dwodger@fsround.org	5. Senate ID # 5290-12
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # 30821000

**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"/> ⇨ \$ _____  <small>Income (nearest \$20,000)</small></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 checked="" type="checkbox"/> ⇨ \$ <u>200,000</u>  <small>Expenses (nearest \$20,000)</small></p> <p><b>14. REPORTING METHOD.</b> Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input checked="" 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(c) of the Internal Revenue Code</p>

Signature Richard M. Whiting

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

Registrant Name The 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 Bill Nos. - S.187, 761,900,921,1090,1214  
House Bill Nos. - HR 10,22,30,174,192,663,775,800,1714,2245,2488  
Executive Branch Actions: 1) financial modernization leg. and deposit insurance premiums; 2) regulatory burden relief; 3) environmental liability; 4) Glass Steagall Reform Act; 5) technology related leg.; 6) preemption leg.; and 7) Tax leg.

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

U.S. Senate, U.S. House of Representatives, Department of the Treasury (including OTS & OCC), FDIC, Justice Dept., HUD, SEC, FRB, EPA, FHFB, EXIM Bank

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

Name	Covered Official Position (if applicable)	New
Steve Bartlett		<input type="checkbox"/>
Alfred M. Pollard		<input type="checkbox"/>
Richard M. Whiting		<input type="checkbox"/>
Todd J. Dorny		<input type="checkbox"/>
		<input 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 Aug. 11, 1999

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

# LOBBYING REGISTRATION

Lobbying Disclosure Act of 1995 (Section 4)

Check if this is an Amended Registration

1. Effective Date of Registration \_\_\_\_\_

2. House Identification Number 30821000

Senate Identification Number 5290-12

## REGISTRANT

3. Registrant name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Zip \_\_\_\_\_

4. Principal place of business (if different from line 3) \_\_\_\_\_

City \_\_\_\_\_

State/Zip (or Country) \_\_\_\_\_

5. Telephone number and contact name \_\_\_\_\_

( ) \_\_\_\_\_

Contact \_\_\_\_\_

E-mail (optional) \_\_\_\_\_

6. 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*

7. Client name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Zip \_\_\_\_\_

8. Principal place of business (if different from line 7) \_\_\_\_\_

City \_\_\_\_\_

State/Zip (or Country) \_\_\_\_\_

9. General description of client's business or activities \_\_\_\_\_

## LOBBYISTS

10. 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)
Steve Bartlett	

**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 Aug. 11, 1999

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