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Washington, DC 20510

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## LOBBYING REPORT

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

1. Registrant Name

**Massachusetts Mutual Life Insurance Company**

2. Address ☐ Check if different than previously reported

**1295 State Street**

3. Principal Place of Business (if different from line 2)

City: **Springfield**

State/Zip (or Country) **Massachusetts 01111**

4. Contact Name

Telephone

E-Mail (optional)

5. Senate ID #

**Kenneth S. Cohen**

**(413)744-6057**

**kcohen@massmutual.com**

**23986-12**

7. Client Name ☒ Self

6. House ID #

**31968000**

**TYPE OF REPORT** 8. Year 2001 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 ☐

### INCOME OR EXPENSES – Complete Either Line 12 OR Line 13

#### 12. Lobbying Firms

**INCOME** relating to lobbying activities for this reporting period was:

Less than \$10,000 ☐

\$10,000 or more ☐ | \$ \_\_\_\_\_  
Income (nearest \$20,000)

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).

#### 13. Organizations

**EXPENSES** relating to lobbying activities for this reporting period were:

Less than \$10,000 ☐

\$10,000 or more ☒ | \$ 800,000  
Expenses (nearest \$20,000)

**14. REPORTING METHOD.** Check box to indicate accounting method. See instructions for description of

☐ **Method A.** Reporting amounts using LDA definition

☐ **Method B.** Reporting amounts under section 603 Internal Revenue Code

☒ **Method C.** Reporting amounts under section 162 Internal Revenue Code

Signature \_\_\_\_\_

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



Registrant Name Massachusetts Mutual Client Name Self

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

16. Specific lobbying issues

**H.R. 833, S. 625 "Bankruptcy Reform Act," provisions relating to single asset real estate and placing a cap on the protection for retirement savings.**

**H.R. 333, S. 420, "Bankruptcy Abuse Prevention and Consumer Protection Act of 2001," provisions relating to single asset real estate relief and protection of pension benefits.**

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

- House
- Senate

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>James P. Puhala, III</u>	

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

Signature \_\_\_\_\_

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

[REDACTED]

Registrant Name Massachusetts Mutual 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 TOR (one per page)

16. Specific lobbying issues

**H.R. 2341, "Class Action Fairness Act of 2001," all provisions of the bill**

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

- **House**
- **Senate**

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>Ellen Wilkins Ellis</u>	
<u>Kevin M. Sweeney</u>	

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

Signature \_\_\_\_\_

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



Registrant Name Massachusetts Mutual 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** as requested. Attach additional page(s) as needed.

15. General issue area code FIN (one per page) (#1 of 3 Code: FIN)

16. Specific lobbying issues

**SEC rule-making to exempt federal thrift institutions from Investment Advisers Act of 1940**

**SEC proposed rule on after-tax returns for investors**

**SEC challenge to NASD Jurisdiction over Group Variable Annuity Contracts**

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

- SEC
- House
- Senate

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>Ellen Wilkins Ellis</u>	
<u>James P. Puhala, III</u>	
<u>William B. Fisher</u>	

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

Signature \_\_\_\_\_

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

[REDACTED]



Registrant Name Massachusetts Mutual Client Name Self

**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 (one per page) (#2 of 3 Code: FIN)

16. Specific lobbying issues

**House and Senate consideration of various proposals related to securities law modernization, including modifications to the '33 Act, '34 Act and '40 Act.**

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

- House
- Senate

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>Ellen Wilkins Ellis</u>	
<u>Kevin M. Sweeney</u>	

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

☒ Check if None

Signature \_\_\_\_\_

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

[REDACTED]

Registrant Name Massachusetts Mutual 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 FIN (one per page) (#3 of 3 Code: FIN)

16. Specific lobbying issues

**SEC Proposed Rulemaking on Political Contributions by Certain Investment Advisers (File No. S7-19-99)**

**Health and Human Services Regulations on the privacy of medical information**

**H.R. 583, To establish the Commission for the Comprehensive Study of Privacy Protection, all provisions**

**H.R. 2036, "Social Security Number Privacy and Identity Theft Protection Act of 2001," all provisions**

**S. 30, "Financial Information Privacy Protection Act of 2001," all provisions**

**S. 848, "Social Security Number Misuse Prevention Act of 2001," all provisions**

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

- Senate
- House
- Health and Human Services
- SEC

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

Name	Covered Official Position (if applicable)
Kenneth S. Cohen	
Ellen Wilkins Ellis	
William B. Fisher	
Alison Weiss	
Kevin M. Sweeney	

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

Signature \_\_\_\_\_

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



Registrant Name Massachusetts Mutual Client Name Self

**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 TAX (one per page) (#1 of 2 Code: TAX)

16. Specific lobbying issues

**S. 892, all provision (relating to extending or making permanent the Subpart F exclusion for active financing income tax on overseas)**

**H.R. 661, S. 992, "Life Insurance Tax Simplification Act of 2001," all provisions**

**H.R. 909, S. 795, regarding repeal of restrictions on the filing of consolidated returns for life and non-life insurance companies.**

**No bill number, consideration of legislative relief for adverse tax treatment of asset and liability financial management using hedging transactions**

**H.R. 1836, 2001 tax relief legislation, provisions relating to possible life insurance income tax changes**

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

- House
- Senate
- Treasury
- White House

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

Name	Covered Official Position (if applicable)
Kenneth S. Cohen	
Ellen Wilkins Ellis	
Alison Weiss	
Kevin M. Sweeney	

☒ Check if None

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

Signature \_\_\_\_\_

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

[REDACTED]

Registrant Name Massachusetts Mutual Client Name Self

**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 TAX (one per page) (#2 of 2 Code: TAX)

16. Specific lobbying issues

**IRS Notice 2001-10 relating to taxation of split dollar life insurance policies**

**H.R. 831, S. 627, "Long Term Care and Retirement Security Act of 2001," provisions relating to tax incentives for long-term care insurance premiums paid for long-term care insurance**

**H.R. 1357, S. 676, Active financing provision of Subpart F of the Internal Revenue Code**

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

- House
- Senate
- Treasury
- IRS
- White House

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>Cecile A. Butler</u>	
<u>Ellen Wilkins Ellis</u>	
<u>Alison Weiss</u>	

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

Signature \_\_\_\_\_

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

[REDACTED]



Registrant Name Massachusetts Mutual Client Name Self

**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 RET (one per page) (#1 of 2 Code: **RET**)

16. Specific lobbying issues

**H.R. 2269, "Retirement Security Advice Act of 2001," all provisions**

**H.R. 1836, "Economic Growth and Tax Relief Reconciliation Act of 2001," all provisions**

**H.R. 10, "Comprehensive Retirement Security and Pension Reform Act of 2001," all provisions**

**S. 742, "Retirement Security and Savings Act of 2001," all provisions**

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

- House
- Senate
- Treasury
- Department of Labor
- IRS

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>Ellen Wilkins Ellis</u>	
<u>Alison Weiss</u>	
<u>Kevin M. Sweeney</u>	

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

Signature \_\_\_\_\_

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

[REDACTED]

Registrant Name Massachusetts Mutual Client Name Self

**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 RET (one per page) (#2 of 2 Code: RET)

16. Specific lobbying issues

**IRS Small Pension Plan Compliance Study**

**IRS Determination Letter Program**

**IRS and Treasury consideration of the need for regulatory guidance under the retirement savings provisions of the newly enacted Economic Growth and Tax Relief Reconciliation Act**

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

- House
- Senate
- Treasury
- Department of Labor
- IRS

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

Name	Covered Official Position (if applicable)
Kenneth S. Cohen	

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

Signature \_\_\_\_\_

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



Registrant Name Massachusetts Mutual 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 HCR (one per page) (#1 of 2 Code: HCR)

16. Specific lobbying issues

**Health and Human Services Regulations on the privacy of medical 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)
William B. Fisher	

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

Signature \_\_\_\_\_

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

[REDACTED]

Registrant Name Massachusetts Mutual 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** as requested. Attach additional page(s) as needed.

15. General issue area code HCR (one per page) (#2 of 2 Code: HCR)

16. Specific lobbying issues

**S. 1052, "Patients Bill of Rights," provisions relating to employer liability for HMO medical care decisions**

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

- House
- Senate

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	

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

Signature \_\_\_\_\_

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

[REDACTED]



Registrant Name Massachusetts Mutual Client Name Self

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the client 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 INS (one per page) (#1 of 2 Code: INS)

16. Specific lobbying issues

**H.R. 1408, "Financial Services Anti-Fraud Network Act of 2001," all provisions**

**No Bill Number, an act relating to an optional federal charter for life insurance companies**

**House consideration of the costs of multi-state regulation of life insurers**

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

- House
- Senate

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

Name	Covered Official Position (if applicable)
<u>Kenneth S. Cohen</u>	
<u>William B. Fisher</u>	
<u>Kevin M. Sweeney</u>	
<u>Ellen Wilkins Ellis</u>	
<u>Edward Duch</u>	
<u>Alison Weiss</u>	

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

Signature \_\_\_\_\_

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



Registrant Name Massachusetts Mutual 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 INS (one per page) (#2 of 2 Code: INS)

16. Specific lobbying issues

**WTO negotiations with the People's Republic of China concerning insurance licensing and regulation**

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

- **Office of the U.S. Trade Representative**

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

Name	Covered Official Position (if applicable)
Kevin M. Sweeney	

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

Signature \_\_\_\_\_

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

[REDACTED]

Registrant Name Massachusetts Mutual

Client Name Self

**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

**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 Bu (city and state or co

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

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

Signature  Date 8/2/01

Printed Name and Title Kenneth S. Cohen, Senior Vice President and Deputy General Counsel

[REDACTED]