

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

SECRETARY OF THE
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LOBBYING REPORT

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

1. Registrant Name Ross & Hardies			
2. Address <input type="checkbox"/> Check if different than previously reported 150 North Michigan Avenue, Suite 2500, Chicago, Illinois 60601			
3. Principal Place of Business (if different from line 2) City: Chicago State/Zip (or Country) Illinois 60601			
4. Contact Name	Telephone	E-mail (optional)	5. Senate ID #
Scott Hodes	312/750-2750	scott.hodes@rosshardies.com	337
7. Client Name <input type="checkbox"/> Self Investment Company Institute			6. House ID # 318

TYPE OF REPORT 8. Year 2001 Midyear (January 1-June 30) ☒ OR Year End (July 1-D

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ ⇒ Termination Date _____

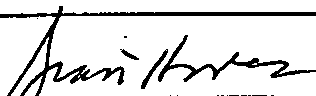
11. No Lobbyi

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 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> ⇒ \$ <u>20,000</u> 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 period were: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> ⇒ \$ _____ Expenses (nearest \$20,000) 14. REPORTING METHOD. Check box to indicate accounting method. See instructions for description <input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definition <input type="checkbox"/> Method B. Reporting amounts under section 6 Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 1 Internal Revenue Code

Signature



✓
Printed Name and Title Scott Hodes, Partner

LD-2 (REV. 6/98)



Registrant Name Scott Hodes Client Name Investment Company Institute

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 as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

- a) H.R. 2269 (Retirement Security Advice Act)
- b) H.R. 1836 (IRA Pension Expansion)
- c) H.R. 168 (Capital Gains Distribution)
- d) S. 143 (SEC Fee Reduction)

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

☐ Check if None

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

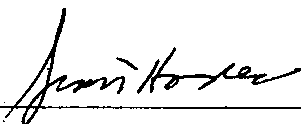
18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Scott Hodes	Partner

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

☐ Check if None

Signature



Date 08/09/01

Printed Name and Title Scott Hodes, Partner

Form 1.D-2 (Rev. 6/98)

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