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



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 Check if different that previously reported	
1401 H Street, NW, Suite 1200	
3. Principal Place of Business (if different from line 2)	
Co. Washington Sum	/Zip (or Country) DC 20005
4. Contact Name Telephone	E-mail (optional) 5. Secate #D #
Lawrence R. Maffia 202-326-5	800 20128-12
7. Client Name 🔯 Self	6. House 3D #
	31117000
9. Check if this filing amends a previously filed version of this 10. Check if this is a Termination Report □ ⇒ Termination INCOME OR EXPENSES - Complete Either	n Date11. No Lobbying Activity
12. Lobbying Firms	13. Organizations
INCOME relating to lobbying activities for this reporting period was:	EXPENSES relating to lobbying activities for this reporting period were:
Less than \$10,000 📮	Less than \$10,000 Q
\$10,000 or more	\$10,000 or more
hecome (nearest \$29,000) Provide a good faith estimate, rounded to the nearest \$20,000,	14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options.
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).	☐ Method B. Reporting amounts under section 6033(b)(8)of the Internal Revenue Code
* .	Method C. Reporting amounts under section 162(e) of the Internal Revenue Code
Signatur e	
Printed Name and Title	

	ssary to reflect the general issue areas in which the registrant orting period. Using a separate page for each code, provide eded.	·
15. General issue area code <u>RAN</u> (one per page)		
16. Specific lobbying issues		
Community Reinvestment Act- H.R.	.4893	
Financial Services Modernization	n PL 106-102	
Municipal Bankruptcy - H.R. 2419	5	:
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 thi	s issue area	
Name	Covered Official Posizion (if applicable)	New
Julie Domenick	~~~~~	Q
Donald J. Morrissey		
Dean R. Sackett, III		
David Kemps	1	
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		<u></u>
19. Interest of each foreign entity in the specific issues listed on	line 16 above Check if None) 1
•		
Signature	Date	····
Printed Name and Title		_
Form LD-2 (Rev.6/98)	Page 2 at 10	
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	ssary to reflect the general issue areas in which the registrant orting period. Using a separate page for each code, provide ided.	:
		:
15. General issue area code <u>BUD</u> (one per page)		·
16. Specific lobbying issues		
Investment Competitiveness - Admin	istration FY 2001 Budget	
SEC Appropriations - S. 2107; H.R	. 2441; 拼.R. 4690	;
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 thi	s issue area	;
Nezze-	Covered Official Position (if applicable)	New
Donald J. Morrissey		0
J. Michael Stern		0
David Kemps		D)
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9. Interest of each foreign entity in the specific issues listed on	line 16 above	
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Printed Nerse and Title		
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information as requested. Attach additional page(s) as need	eded.	
15. General issue area code <u>FIN</u> (one per page)	!	:
16. Specific lobbying issues		;
Fair Credit Reporting - H.R. 3408 Federalism - H.R. 2245: S. 1214	. 887 1; S. 2697 Signatures - H.R. 1714; PL 106-229; S. 7	
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 thi	is issue area	
Name	Covered Official Position (if applicable)	New
Julie Domenick		0
Donald J. Morrissey		
manaka Danda		
Dean R. Sackett, III		
David Kemps		٥
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19. Interest of each foreign entity in the specific issues listed on	line 16 above	•
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Printed Name and Title	** OUT.	— ;
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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

· · · · ·	ssary to reflect the general issue areas in which the registrant orting period. Using a separate page for each code, provide eded.	-
15. General issue area code <u>FIN</u> (one per page)		ţ
16. Specific lobbying issues		
Financial Privacy - S. 2513 H1-B Visas - H.R. 2698; H.R. 3814; S. 1804; S.2045	H.R. 3983; H.R. 4227; S.1440; S.1563	:
Hedge Fund Regulation "H.R. 2924; Impact on Mutual Fund Holdings "H	.R. 1462; H.R. 1471; H.R. 2896; HR 290; R. 3886; H.R. 4695; S. 1663	5
17. House(s) of Congress and Federal agencies contacted	Check if None	
U.S. Senate		٠
U.S. House of Representatives		,
18. Name of each individual who acted as a lobbyist in thi	s issue area	:
Name	Covered Official Position (if applicable)	New
Julie Domenick		
Donald J. Morrissey		0
Timothy Forde		
Dean R. Sackett, III		Ö
David Kemps		۵
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9. Interest of each foreign entity in the specific issues listed on	line 16 above	·
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	sary to reflect the general issue areas in which the registrant orting period. Using a separate page for each code, provide edd.	;
15. General issue area code FIN (one per page)		:
16. Specific lobbying issues		
Market Structure Mutual Fund Disclosure - H.R. 16 Privacy of Information - H.R. 3 H.R. 4	089 321; H.R. 4380; H.R. 4585; H.R. 4690 857; S. 2448; S. 2513	:
17. House(s) of Congress and Federal agencies comacted	Check if None	
U.S. Senate		:
U.S. House of Representatives		!
18. Name of each individual who acted as a lobbylist in this	s issue area	
Neme	Covered Official Position (if applicable)	New
Julie Domenick		<u> </u>
Donald J. Morrissey		o`
Timothy Forde		<u>ם</u>
Dean R. Sackett, III		
David Kemps		0
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 Interest of each foreign entity in the specific issues listed on 	line 16 above	:
Signatur e	Date	
Printed Name and Tule		-
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Registrant Name Investment Co. 1115t. Chent	Name SELL	
LOBBYING ACTIVITY. Select as many codes as neces engaged in lobbying on behalf of the client during the repr information as requested. Attach additional page(s) as necessary	ssary to reflect the general issue areas in which the registrant orting period. Using a separate page for each code, provide eded.	:
15. General issue area code <u>RET</u> (one per page)		
16. Specific lobbying issues	•	
Cross-Trades Education IRAs - HR 2488; HR 7; FERISA Reform - HR. 4747; HR. 4748 Individual Savings - HR. 2488; S. Limited Scope Audit Repeal - HR. Pension Expansion/Simplification	8 . 2740 . 1590; S. 476	:
17. House(s) of Congress and Federal agencies contacted	Check if None	
U.S. Senate		
U.S. House of Representatives		•
National Economic Council/White	House	
18. Name of each individual who acted as a lobbyist in th	is issue area	
Name	Covered Official Position (if applicable)	New
Julie Domenick		
Donald J. Morrissey		٥
Timothy Forde		
J. Michael Stern		o.
David Kemps		o
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 Interest of each foreign emity in the specific issues listed on 	Florence State Control	1
	line 16 above	:
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rinted Name and Title		
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LOBBYING ACTIVITY. Select as many codes as neces engaged in lobbying on behalf of the client during the rep- information as requested. Attach additional page(s) as necessary	ssary to reflect the general issue areas in which the registran orting period. Using a separate page for each code, provided eded.	t e
15. General issue area code <u>RET</u> (one per page)		
16. Specific lobbying issues		:
Personal Investment Plans - H.R. l Retirement Security	1793; S. 1383; S. 21; S. 263; S. 2774	
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17. House(s) of Congress and Federal agencies contacted	Check if None	
U.S. Senate		
U.S. House of Representatives		:
National Economic Council/White Ho	use	
18. Name of each individual who acted as a lobbyist in this	is issue area	
Noune	Covered Official Position (if applicable)	Now
Julie Domenick		
		o l
L. Michael Stern		
Timothy Forde		
		o
19. Interest of each foreign entity in the specific issues listed on	line 16 above	` .
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Signature		
rinted Name and Title	Date	
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LOBBYING ACTIVITY. Select as many codes as ne engaged in lobbying on behalf of the client during the minformation as requested. Attach additional page(s) as a	ecessary to reflect the general issue areas in which the registrar reporting period. Using a separate page for each code, provid needed.	nt ie
15. General issue area code TAX (one per pag	ge)	
16. Specific lobbying issues		:
Capital Gains - H.R. 4723; K Capitalization - Administration Dividends Paid Deduction - Ad Investment Competitiveness - Social Security Reform - H.R.	on FY 2001 Budget ministration FY 2001 Budget H.R. 2488	
17. House(s) of Congress and Federal agencies contacte	ed Check if None	
U.S. Senate U.S. House of Representatives		:
18. Name of each individual who acted as a lobbyist in t	this issue area	:
Name	Covered Official Position (if applicable)	New
Julie Domenick		۵
Donald J. Morrissey		
Timothy Forde	777 7724181	٥
J. Michael Stern		
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 Interest of each foreign entity in the specific issues listed o 	on line 16 above Check if None	; :
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15. General issue area code TRD (one per page)		
16. Specific lobbying issues		
Effects on Mutual Funds - Tax Tre		:
Encryption Export - H.R. 850; S.		
		:
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 thi	. t	
Name		New
Donald J. Morrissey		
J. Michael Stern		
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774.84.64.44.44.79.171111876.76.76.45.66.67.44.49.69.48.68.68.68.68.68.68.68.68.68.68.68.68.68		
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 Interest of each foreign entity in the specific issues listed on l 	tine 16 above	
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rinted Name and Title Lawrence R. Maffia. Se	Date 2-7-2001	
Tinted Name and Title Lawrence R. Maffia, Se	nior Vice President	•
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