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SECRETARY OF THE SENATE

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H. D.

LOBBYING REPORT

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

1. Registrant Name R. Duffy Wall & Associates, Inc.			
2. Registrant Address ☐ Check if different than previously reported Address 601 13th Street, N.W. Suite 410 South City Washington State/Zip (or Country) DC 20005			
3. Principal Place of Business (if different from line 2) City _____ State/Zip (or Country) _____			
4. Contact Name Bill K. Brewster		Telephone (202) 737-0100	5. Senate ID # _____
7. Client Name ☐ Self Waddell & Reed Financial, Inc.		6. House ID # 30174075	

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

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 ☐
\$10,000 or more ☒ >> \$ <u>\$100,000.00</u> Income (nearest \$20,000)	\$10,000 or more ☐ >> \$ _____ Expenses (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).	14. REPORTING METHOD. Check box to indicate expense accounting method. See instructions for description of options. ☐ Method A. Reporting amounts using LDA definitions only ☐ 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

Signature _____ Date 02/07/2000

Printed Name and Title Bill K. Brewster - Chairman Page 1 of 2

Registrant Name: R. Duffy Wall & Associates, Inc.

Client Name: Waddell & Reed Financial, Inc.

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 FIN (one per page)

16. Specific Lobbying issues

General tax issues particularly pertaining to mutual funds.

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
Brewster, Bill K.	Member of Congress, Oklahoma	No
Jory, David		No

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

☒ Check if None

Signature Bill K. Brewster Date 02/07/2000

Printed Name and Title Bill K. Brewster - Chairman Page 2 of 2