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# LOBBYING REPORT

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

1. Registrant Name <u>American Bankers Association Securities Association</u>			
2. Address <input type="checkbox"/> Check if different than previously reported <u>1120 Connecticut Avenue, NW</u>			
3. Principal Place of Business (if different from line 2) City: <u>Washington</u> State/Zip (or Country): <u>DC 20036</u>			
4. Contact Name	Telephone	E-mail (optional)	5. Senate ID
<u>Sarah A. Miller</u>	<u>202-663-5325</u>	<u>SMiller@aba.com</u>	<u>44-12</u>
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID
			<u>30467</u>

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

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	13. Organizations
<b>INCOME</b> relating to lobbying activities for this reporting period was:	<b>EXPENSES</b> relating to lobbying activities for this period were:
Less than \$10,000 <input type="checkbox"/>	Less than \$10,000 <input type="checkbox"/>
\$10,000 or more <input type="checkbox"/> ⇒ \$ _____ Income (nearest \$20,000)	\$10,000 or more <input type="checkbox"/> ⇒ \$ <u>60,000</u> 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).	<b>14. REPORTING METHOD.</b> Check box to indicate accounting method. See instructions for descriptive reporting method. <input type="checkbox"/> Method A. Reporting amounts using LDA de <input checked="" type="checkbox"/> Method B. Reporting amounts under section Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section Internal Revenue Code

Signature [Handwritten Signature]

Printed Name and Title Sarah A. Miller

LD-2 (REV. 6/98)



American Bankers Association  
Securities Association

Registrant Name

Client Name

Sarah A. Miller

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each information as requested. Attach additional page(s) as needed.

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

16. Specific lobbying issues

SEE ATTACHED

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

House of Representatives, Senate, Board of Governors of the Federal Reserve System, Office of the Comptroller of Currency, Federal Deposit Insurance Corporation, Securities and Exchange Commission, Office of Thrift Supervision, Department of Treasury, National Association of Securities Dealers

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

Name	Covered Official Position (if applicable)
Beth L. Climo	
James D. McLaughlin	
Sarah A. Miller	
J. Kevin A. McKechnie	

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

Signature



Date

8/12/16

Printed Name and Title Sarah A. Miller

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Form LD-2 (Rev. 6/98)



Registrant: American Bankers Association Securities Association

16. Specific lobbying issues

Legislation:

Pub L. No 106-102	Implementation of Gramm-Leach-Bliley Financial Modernization Act, Titl II, V
H.R. 1088	Investor and Capital Markets Fee Relief Act of 2001
H.R. 1408	Financial Services Anti Fraud Network Act of 2001
H.R. 2069	Retirement Security Advice Act of 2001
S.143	Competitive Market Supervision Act of 2001

Agencies:

Implementation of Gramm-Leach-Bliley Financial Modernization Act, Pub L. No. 106-102 Titles I, II

Form LD-2 (1/96)

