

SECRETARY OF THE SENATE  
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# LOBBYING REGISTRATION

Lobbying Disclosure Act of 1995 (Section 4)

Check if this is an Amended Registration  1. Effective Date of Registration June 15, 2001  
 2. House Identification Number \_\_\_\_\_ Senate Identification Number \_\_\_\_\_

## REGISTRANT

3. Registrant name The Options Clearing Corporation  
 Address 1101 Pennsylvania Avenue, NW Suite 600  
 City Washington State DC Zip 20004  
 4. Principal place of business (if different from line 3)  
 City Chicago State/Zip (or Country) IL 60605  
 5. Telephone number and contact name  
(202) 756-7756 Contact Susan Milligan E-mail (optional) smilliger@thecoc.com  
 6. General description of registrant's business or activities  
The OCC is the largest clearing organization in the world for financial derivatives instruments.

## CLIENT

*A Lobbying firm is required to file a separate registration for each client. Organizations employing in-house lobbyists should check the box labeled "Self" and proceed to line 10.  Self*

7. Client name \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
 8. Principal place of business (if different from line 7)  
 City \_\_\_\_\_ State/Zip (or Country) \_\_\_\_\_  
 9. General description of client's business or activities \_\_\_\_\_

## LOBBYISTS

10. Name of each individual who has acted or is expected to act as a lobbyist for the client identified on line 7. If any person listed in this section has served as a "covered executive branch official" or "covered legislative branch official" within two years of first acting as a lobbyist for the client, state the executive and/or legislative position(s) in which the person served.

Name	Covered Official Position (if applicable)
Susan Milligan	
John Carter	House Office, Personal Staff

**LOBBYING ISSUES**

11. General lobbying issue areas. Select all applicable codes listed in instructions and on the reverse side of Form LD-1, page 1.

BK  FIN  TAX \_\_\_\_\_

12. Specific lobbying issues (current and anticipated)  
 Investor and Capital Markets Fee Relief Act, H.R. 1088. Competitive Market Supervision Act of 2001, S. 143. The Bankruptcy Reform Act of 2001, S. 420. The Bankruptcy Reform Act of 2001, H.R. 333. Securities Market Structure Issues. Tax Simplification Efforts Implementation of the Commodities Futures Modernization Act (P.L. 106-554)

**AFFILIATED ORGANIZATIONS**

13. Is there an entity other than the client that contributes more than \$10,000 to the lobbying activities of the registrant in a semiannual period and in whole or in major part plans, supervises or controls the registrant's lobbying activities?

- No ⇒ Go to line 14.  Yes | Complete the rest of this section for each entity matching the criteria above, then proceed to line 14.

Name	Address	Principal Place of Business (city and state or country)

**FOREIGN ENTITIES**

14. Is there any foreign entity that:  
 a) holds at least 20% equitable ownership in the client or any organization identified on line 13; **OR**  
 b) directly or indirectly, in whole or in major part, plans, supervises, controls, directs, finances or subsidizes activities of the client or any organization identified on line 13; **OR**  
 c) is an affiliate of the client or any organization identified on line 13 and has a direct interest in the outcome of the lobbying activity?

- No ⇒ Sign and date the registration.  Yes | Complete the rest of this section for each entity matching the criteria above, then sign and date the registration.

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client

Signature Susan Hilligan Date 8/2/01  
 Printed Name and Title Susan Hilligan First VP and Special Counsel