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Clerk of the House of Representatives	Secretary of the Senate
Legislative Resource Center	Office of Public Records
B-106 Cannon Building	232 Hart Building
Washington, DC 20515	Washington, DC 20510

SECRETARY OF TH
04 FEB 17 PM

LOBBYING REGISTRATION

Lobbying Disclosure Act of 1995 (Section 4)

Check if this is an Amended Registration ☐ 1. Effective Date of Registration 1/1/2004

2. House Identification Number _____ Senate Identification Number _____

REGISTRANT

3. Registrant name Thelen Reid & Priest LLP

Address 701 Pennsylvania Ave. NW 8th Floor

City Washington State DC Zip 20004

4. Principal place of business (if different from line 3)
City New York State/Zip (or Country) NY 10022

5. Telephone number and contact name
(202) 508-4000 Contact Joshua Mecham E-mail (optional)

6. General description of registrant's business or activities
Lobby/ Law Firm

CLIENT

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

7. Client name Pershing

Address One Pershing Plaza

City Jersey City State NJ Zip 07399

8. Principal place of business (if different from line 7)
City New York State/Zip (or Country) NY

9. General description of client's business or activities
Securities Broker/Dealer

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 per in this section has served as a "covered executive branch official" or "covered legislative branch official" within two yea 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)
Richard Roberts	

Registrant Name Thelen Reid & Priest LLP Client Name Pershing

LOBBYING ISSUES

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

BAN FIN GOV

12. Specific lobbying issues (current and anticipated)

Financial Services legislation

AFFILIATED ORGANIZATIONS

13. Is there an entity other than the client that contributes more than $10,000 to the lobbying activities of the registra 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 criteria above, then proceed to line 14.

Name	Address	Principal Place of Busine (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 subsidiz 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 outco of the lobbying activity?

☑ No ⇨ Sign and date the registration. ☐ Yes ⇩ Complete the rest of this section for each e matching the criteria above, then sign and registration.

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities	O pe in

Signature Richard Rahter Date 2/12/04

Signature _____ Date _____

Printed Name and Title Richard Roberts, Partner

Form LD-1 (Rev. 04/03)