| 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 the Senate**
**Received: Jul 24, 2001**

# LOBBYING REPORT

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

1. Registrant Name:

**KESSLER & ASSOCIATES BUSINESS SERVICES**

2. Address:
210 7TH ST SE #200, WASHINGTON, DC 20003

3. Principal place of business (if different from line 2):

4. Contact Name: LEE TERRETT
Telephone: 202-547-6808
E-mail (optional): lterrett@kesslerassoc.com

Senate ID #: 21506-455
House ID #:

7. Client Name: ☐ Self

**NATL ASSN OF SECURITIES DEALERS INC**

## TYPE OF REPORT

8. Year 2001 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**

**INCOME** relating to lobbying activities for this reporting period was:

Less than $10,000: ☐

$10,000 or more: ☒ => Income (nearest $20,000): 60,000.00

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).

**13. Organizations**

**EXPENSES** relating to lobbying activities for this reporting period were:

Less than $10,000: ☐

$10,000 or more: ☐ => Expenses (nearest $20,000):

**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

Registrant Name: KESSLER & ASSOCIATES BUSINESS SERVICES Client Name: NATL ASSN OF SECURITIES DEALERS 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:

Issues relating to separation of NASDAQ and NASD; anti-fraud legislation

17. House(s) of Congress and Federal agencies contacted:
HOUSE OF REPRESENTATIVES
SENATE
Securities & Exchange Commission (SEC)

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

Name: BARTLETT, MICHAEL L.
Covered Official Position (if applicable): N/A
Name: BARTLETT, MICHAEL L.
Covered Official Position (if applicable): N/A
Name: EVANS, BILLY LEE
Covered Official Position (if applicable): MEMBER OF CONGRESS
Name: EVANS, BILLY LEE
Covered Official Position (if applicable): MEMBER OF CONGRESS
Name: JENCKES, LINDA
Covered Official Position (if applicable): N/A
Name: JENCKES, LINDA
Covered Official Position (if applicable): N/A
Name: KESSLER, RICHARD
Covered Official Position (if applicable): N/A
Name: KESSLER, RICHARD
Covered Official Position (if applicable): N/A
Name: NORTHCOTT, HALLOCK
Covered Official Position (if applicable): N/A
Name: NORTHCOTT, HALLOCK
Covered Official Position (if applicable): N/A
Name: NORTHCOTT, HALLOCK
Covered Official Position (if applicable): N/A
Name: POLK, FRANKLIN G
Covered Official Position (if applicable): SENATE FINANCE COMMITTEE STAFF DIRECTOR
Name: POLK, FRANKLIN G
Covered Official Position (if applicable): SENATE FINANCE COMMITTEE STAFF DIRECTOR

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

Signature: ON FILE Date: Jul 24, 2001

Printed Name and Title: DARLA M. TOMES - DEPUTY DIRECTOR OF COMMUNICATIONS

## Information Update Page:

**Complete ONLY where registration information has changed.**

## LOBBYIST UPDATE

**23. Name of each previously reported individual who is NO LONGER expected to act as a lobbyist for the client**

Name: MUSSER, JAMES C.
Name: MUSSER, JAMES C.

## ISSUE UPDATE

**24. General lobbying issues previously reported that NO LONGER pertain**

## AFFILIATED ORGANIZATIONS

**25. Add the following organization(s)**

**26. Name of each previously reported organization that is NO LONGER affiliated with the registrant or client**

## FOREIGN ENTITIES

**27. Add the following foreign entities**

**28. Name of each previously reported foreign entity the NO LONGER owns, OR controls, OR is affiliated with the registrant, client or affiliated organization**

Signature: ON FILE Date: Jul 16, 2001

Printed Name and Title: DARLA M. TOMES - Deputy Director of Communications

| 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 the Senate**
**Received: Jan 17, 2002**

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