REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee
(Summary Page)

FEDERAL ELECTION COMMISSION

JAN 26 11 36 AM '99

1. NAME OF COMMITTEE (in full)
Investment Management Political Action Committee of the Investment Company Institute

ADDRESS (number and street) ☐ Check if different than previously reported
1401 H Street NW

CITY, STATE and ZIP CODE
Washington, DC 20005

2. FEC IDENTIFICATION NUMBER
C00105981

3. [X] This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

4. TYPE OF REPORT

(a)
- ☐ April 15 Quarterly Report
- ☐ July 15 Quarterly Report
- ☐ October 15 Quarterly Report
- ☐ January 31 Year End Report
- ☐ July 31 Mid Year Report (Non-election Year Only)
- ☐ Termination Report

(b) ☐ Is this Report an Amendment? ○ Yes ● No

Monthly Report Due On:

○ February 20	○ June 20	○ October 20
○ March 20	○ July 20	○ November 20
○ April 20	○ August 20	○ December 20
○ May 20	○ September 20	● January 31

○ Twelfth day report proceeding _____ election on _____ in the State of _____

○ Thirtieth day report following the General Election on _____ in the State of _____

SUMMARY 5. Covering Period 11/24/98 through 12/31/98	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, 19 98		$ 164,109.68
(b) Cash on Hand at Beginning of Reporting Period	$ 64,377.42	
(c) Total Receipts (from Line 19)	$ 17,910.87	$ 337,988.35
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	$ 82,288.29	$ 502,098.03
7. Total Disbursements (from Line 30)	$ 6,500.00	$ 426,309.74
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	$ 75,788.29	$ 75,788.29
9. Debts and Obligations Owed TO the Committee (itemize all on Schedule C and/or Schedule D)	$	
10. Debts and Obligations Owed BY the Committee (itemize all on Schedule C and/or Schedule D)	$	

For Further Information Contact:
Federal Election Commission
999 E Street, NW
Washington, DC 20463
Toll Free 800-424-9530
Local 202-219-3420

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer: Lawrence R. Maffia

Signature of Treasurer: [signature]

Date: 1/14/99

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. 437g.

FEC FORM 3X
(REVISED 9/93)

DETAILED SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS
PAGE 2, FEC FORM 3X

NAME OF COMMITTEE Investment Management Political Action Committee of the Investment Company Institute	REPORT COVERING PERIOD FROM 11/24/98 TO 12/31/98	
I. Receipts	**COLUMN A** **Total This Period**	**COLUMN B** **Calendar Year**
11. Contributions (other than loans) From:		
a. Individual/Persons Other Than Political Committees:		
i. Itemized (use Schedule A)	12,750.00	268,697.00
ii. Unitemized		15,599.00
iii. Total (add i and ii)	12,750.00	284,296.00
b. Political Party Committees		
c. Other Political Committees (such as PACs)	5,000.00	51,000.00
d. Total Contributions (add a iii, b and c)	17,750.00	335,296.00
12. Transfers From Affiliated/Other Party Committees		
13. All Loans Received		
14. Loan Repayments Received		
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.)		
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees		
17. Other Federal Receipts (Dividends, Interest, etc.)	160.87	2,692.35
18. Transfers from Nonfederal Account for Joint Activity		
19. Total Receipts (add 11d, 12, 13, 14, 15, 16, 17, and 18)	17,910.87	337,988.35
20. Total Federal Receipts (subtract line 18 from line 19)	17,910.87	337,988.35
II. Disbursements		
21. Operating Expenditures		
a. Shared Federal/Non-Federal Activity (from Schedule H4)		
i. Federal Share		
ii. Non-Federal Share		
b. Other Federal Operating Expenditures		6,299.96
c. Total Operating Expenditures (add a i, a ii, and b)		6,299.96
22. Transfers to Affiliated/Other Party Committees		
23. Contributions to Federal Candidates/Committees and Other Political Committees	6,500.00	420,009.78
24. Independent Expenditures (use Schedule E)		
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (Use Schedule F)		
26. Loan Repayments Made		
27. Loans Made		
28. Refunds of Contributions To:		
a. Individuals/Persons Other Than Political Committees		
b. Political Party Committees		
c. Other Political Committees (such as PACs)		
d. Total Contribution Refunds (add a, b and c)		
29. Other Disbursements		
30. Total Disbursements (add 21c, 22, 23, 24, 25, 26, 27, 28d, and 29)	6,500.00	426,309.74
31. Total Federal Disbursements (subtract line 21 a ii from line 30)	6,500.00	426,309.74
III. Net Contributions/Operating Expenditures		
32. Total Contributions (other than loans)(from line 11d)	17,750.00	335,296.00
33. Total Contribution Refunds (from line 28d)	.00	.00
34. Net Contributions (other than loans)(subtract line 33 from 32)	17,750.00	335,296.00
35. Total Federal Operating Expenditures (add 21 a i and 21 b)		6,299.96
36. Offsets to Operating Expenditures (from line 15)	.00	.00
37. Net Operating Expenditures (subtract line 36 from 35)		6,299.96

For Line Number : 11a

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE: Investment Management PAC of the Investment Company Institute

Name	Name of Employer / Occupation	Date	Amount
William R. Pearce 901 Marquette Ave., South Ste. 2810 Minneapolis, MN 55402-3268	IDS Mutual Fund Group Occupation Chairman and CEO	12/02/98	1,000.00
Aggregate Year-to-Date --->	$1,000.00		
Edmund P. Bergan 1345 Avenue of the Americas 32nd Fl. New York, NY 10105	Alliance Fund Distributors, Inc. Occupation SVP & General Counsel	12/08/98	500.00
Aggregate Year-to-Date --->	$500.00		
John D. Carifa 1345 Avenue of the Americas 39th Fl. New York, NY 10105	Alliance Capital Management L.P. Occupation President	12/08/98	1,000.00
Aggregate Year-to-Date --->	$1,000.00		
David C. Conine 1345 Avenue of the Americas New York, NY 10105-0302	Alliance Capital Management L.P. Occupation Executive Vice President	12/08/98	250.00
Aggregate Year-to-Date --->	$250.00		
Richard A. Davies 1345 Avenue of the Americas 33rd Fl. New York, NY 10105	Alliance Capital Management L.P. Occupation Senior Vice President	12/08/98	250.00
Aggregate Year-to-Date --->	$250.00		

Subtotal of Receipts this page	3,000.00
Total this period	

For Line Number : 11a

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NAME OF COMMITTEE: Investment Management PAC of the Investment Company Institute

Name	Name of Employer / Occupation	Date	Amount
David R. Hubers 2900 IDS Tower 10 Minneapolis, MN 55440	American Express Financial Corporation Occupation CEO	12/08/98	2,000.00
	Aggregate Year-to-Date ---> $2,000.00		
Michael J. Laughlin 1345 Avenue of the Americas 33rd Fl. New York, NY 10105	Alliance Capital Management L.P. Occupation Executive Vice President	12/08/98	500.00
	Aggregate Year-to-Date ---> $500.00		
Richard Saccullo 1345 Avenue of the Americas 33rd Fl. New York, NY 10105	Alliance Capital Management L.P. Occupation National Sales Manager	12/08/98	250.00
	Aggregate Year-to-Date ---> $250.00		
Ronald M. Whitehill 1345 Avenue of the Americas New York, NY 10105-0302	Alliance Capital Management L.P. Occupation Senior Vice President	12/08/98	500.00
	Aggregate Year-to-Date ---> $500.00		
Dave H. Williams 1345 Avenue of the Americas New York, NY 10105-0302	Alliance Fund Distributors, Inc. Occupation Chairman	12/08/98	1,000.00
	Aggregate Year-to-Date ---> $1,000.00		

Subtotal of Receipts this page	4,250.00
Total this period	

For Line Number : 11a

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NAME OF COMMITTEE: Investment Management PAC of the Investment Company Institute

Name	Name of Employer / Occupation	Date	Amount
Sam J. Forester 500 Broward Blvd. East No. 2100 Ft. Lauderdale, FL 33394-3002	Templeton International Fund Occupation Managing Director	12/15/98	1,000.00
Aggregate Year-to-Date ---> $1,000.00			
Charles E. Johnson 500 East Broward Blvd. No. 2100 Ft. Lauderdale, FL 33394-3002	Templeton Worldwide, Inc. Occupation President	12/15/98	1,000.00
Aggregate Year-to-Date ---> $1,000.00			
Robert Errico 1345 Avenue of the Americas 33rd Fl. New York, NY 10105	Alliance Capital Management L.P. Occupation Senior Vice President	12/21/98	500.00
Aggregate Year-to-Date ---> $500.00			
George Hrabovsky 500 Plaza Dr. 3rd Fl. Secaucus, NJ 07094-3619	Alliance Fund Services, Inc. Occupation President	12/21/98	250.00
Aggregate Year-to-Date ---> $250.00			
Charles P. Mayer 7800 E. Union Ave. Denver, CO 80237	INVESCO Funds Group Occupation Portfolio Manager	12/30/98	1,000.00
Aggregate Year-to-Date ---> $1,000.00			

Subtotal of Receipts this page	3,750.00
Total this period	

For Line Number : 11a

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NAME OF COMMITTEE: Investment Management PAC of the Investment Company Institute

Name	Name of Employer	Date	Amount
Timothy J. Miller 7800 E. Union Ave. Denver, CO 80237	INVESCO Funds Group, Inc. **Occupation** Portfolio Manager	12/30/98	1,000.00
	Aggregate Year-to-Date —> $1,000.00		

Name	Name of Employer	Date	Amount
Glen A. Payne 7800 E. Union Ave. Denver, CO 80237-2752	INVESCO Funds Group, Inc. **Occupation** SVP & General Counsel	12/30/98	750.00
	Aggregate Year-to-Date —> $1,000.00		

Subtotal of Receipts this page	1,750.00
Total this period	12,750.00

For Line Number : 11c

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NAME OF COMMITTEE: Investment Management PAC of the Investment Company Institute

Name	Name of Employer	Date	Amount
Equitable Life Assurance Society PAC 1345 Avenue of the Americas New York, NY 10105	N/A Occupation N/A	12/08/98	5,000.00

Aggregate Year-to-Date —> $5,000.00

Subtotal of Receipts this page	5,000.00
Total this period	5,000.00

For Line Number : 17

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NAME OF COMMITTEE: Investment Management PAC of the Investment Company Institute

Name	Name of Employer	Date	Amount
First Union National Bank of Washington 740 15th St., NW Washington, DC 20005	Interest Occupation N/A	11/30/98	81.18
Aggregate Year-to-Date ---->	$2,692.35		

Name	Name of Employer	Date	Amount
First Union National Bank of Washington 740 15th St., NW Washington, DC 20005	Interest Occupation N/A	12/31/98	79.69
Aggregate Year-to-Date ---->	$2,692.35		

Subtotal of Receipts this page	160.87
Total this period	160.87

For Line Number: 23

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NAME OF COMMITTEE Investment Management PAC of the Investment Company Institute

Name	Purpose :	Date:	Amount :
Schumer '98 333 West 22nd Street 6th Floor New York, NY 10019	Contribution Election Type: General Debt Retirement	12/11/98	5,000.00
Name	**Purpose :**	**Date:**	**Amount :**
Citizens for Paul Sarbanes 503 Capitol Court, NE Suite 100 Washington, DC 20002	Contribution Election Type: Primary	12/11/98	1,000.00
Name	**Purpose :**	**Date:**	**Amount :**
Pat Toomey for Congress 1005 Union Blvd. Allentown, PA 18108	Contribution Election Type: Primary Debt Retirement	12/16/98	500.00

Subtotal of Disbursements This Page	6,500.00
Total This Period	6,500.00

Federal Election Commission

ENVELOPE REPLACEMENT PAGE FOR INCOMING DOCUMENTS

The Commission has added this page to the end of this filing to indicate how it was received.

☑	Hand Delivered	Date of Receipt 1-26-99
☐	First Class Mail	POSTMARKED
☐	Registered/Certified Mail	POSTMARKED
☐	No Postmark	
☐	Postmark Illegible	
☐	Received from the House office of Records and Registration	Date of Receipt
☐	Received from the Senate Office of Public Records	Date of Receipt
☐	Other (Specify):	Postmarked _____ and/or Date of Receipt
☐	Electronic Filing	
	PREPARER	1-26-99 DATE PREPARED

(4/98)