REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee
(Summary Page)

RECEIVED
FEDERAL ELECTION
COMMISSION MAIL ROOM

JAN 17 2 55 PM '97

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 12/01/96 through 12/31/96	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, 19 96		$ 103,907.99
(b) Cash on Hand at Beginning of Reporting Period	$ 103,934.71	
(c) Total Receipts (from Line 19)	$ 6,082.02	$ 381,823.38
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	$ 110,016.73	$ 485,731.37
7. Total Disbursements (from Line 30)	$ 11,000.00	$ 386,714.64
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	$ 99,016.73	$ 99,016.73
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, Assistant Treasurer

Signature of Treasurer [signature] Date 1/17/97.

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 12/01/96 TO 12/31/96

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)	4,235.00	275,970.00
II. Unitemized	1,675.00	31,495.00
III. Total (add I and II)	5,910.00	307,465.00
b. Political Party Committees		
c. Other Political Committees (such as PACs)		73,300.00
d. Total Contributions (add a III, b and c)	5,910.00	380,765.00
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.)	172.02	1,058.38
18. Transfers from Nonfederal Account for Joint Activity		
19. Total Receipts (add 11d, 12, 13, 14, 15, 16, 17, and 18)	6,082.02	381,823.38
20. Total Federal Receipts (subtract line 18 from line 19)	6,082.02	381,823.38
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		964.64
c. Total Operating Expenditures (add a I, a II, and b)		964.64
22. Transfers to Affiliated/Other Party Committees		
23. Contributions to Federal Candidates/Committees and Other Political Committees	11,000.00	383,250.00
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)		2,500.00
d. Total Contribution Refunds (add a, b and c)		2,500.00
29. Other Disbursements		
30. Total Disbursements (add 21c, 22, 23, 24, 25, 26, 27, 28d, and 29)	11,000.00	386,714.64
31. Total Federal Disbursements (subtract line 21 a II from line 30)	11,000.00	386,714.64
III. Net Contributions/Operating Expenditures		
32. Total Contributions (other than loans)(from line 11d)	5,910.00	380,765.00
33. Total Contribution Refunds (from line 28d)	.00	2,500.00
34. Net Contributions (other than loans)(subtract line 33 from 32)	5,910.00	378,265.00
35. Total Federal Operating Expenditures (add 21 a I and 21 b)		964.64
36. Offsets to Operating Expenditures (from line 15)	.00	.00
37. Net Operating Expenditures (subtract line 36 from 35)		964.64

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
Robert L. Butler 60 State St. Boston, MA 02109-1803	The Pioneer Funds Distributor, Inc. Occupation President	12/02/96	1,000.00
Aggregate Year-to-Date --->	$1,000.00		
John Lawlor 60 State St. Boston, MA 02109-1803	The Pioneer Group, Inc. Occupation Vice President	12/02/96	1,000.00
Aggregate Year-to-Date --->	$1,000.00		
Patricia G. Cooper 200 Berkeley St. 17th Fl. Boston, MA 02116-5034	Keystone Investments, Inc. Occupation Vice President - Operations	12/03/96	235.00
Aggregate Year-to-Date --->	$235.00		
Phillip M. Byrne 55 Constellation Wharf Charlestown, MA 02129	Keystone Investments, Inc. Occupation Principal	12/05/96	500.00
Aggregate Year-to-Date --->	$500.00		
Henry H. Hopkins 100 E. Pratt St. Baltimore, MD 21202-1009	T. Rowe Price Associates, Inc. Occupation Managing Director	12/31/96	500.00
Aggregate Year-to-Date --->	$1,000.00		

Subtotal of Receipts this page	3,235.00
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
John H. Laporte 100 E. Pratt Street Baltimore, MD 21202	T. Rowe Price Associates, Inc. **Occupation** General Managing Director	12/31/96	1,000.00

Aggregate Year-to-Date ---> $2,000.00

Subtotal of Receipts this page	1,000.00
Total this period	4,235.00

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	12/31/96	172.02

Aggregate Year-to-Date —> $1,058.38

Subtotal of Receipts this page	172.02
Total this period	172.02

For Line Number: 23

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NAME OF COMMITTEE Investment Management PAC of the Investment Company Institute

Name	Purpose :	Date:	Amount :
Friends of Senator Don Nickles P.O. Box 1549 Ponca City, OK 74602	Contribution Election Type: Primary	12/02/96	2,000.00
The McGovern Committee P.O. Box 404 Worcester, MA 01610	Contribution Election Type: General Debt Retirement	12/02/96	500.00
People For English P.O. Box 1940 Erie, PA 16512	Contribution Election Type: General Debt Retirement	12/31/96	1,000.00
The Mary Landrieu for Senate Committee 38 Ivy Street, SE Washington, DC 20003	Contribution Election Type: Primary Debt Retirement	12/31/96	1,000.00
Hagel for Nebraska P.O. Box 241497 Omaha, NE 68124	Contribution Election Type: General Debt Retirement	12/31/96	3,000.00
Ron Paul for Congress Committee 3001 Park Center Suite 419 Alexandria, VA 22302	Contribution Election Type: General Debt Retirement	12/31/96	500.00

Subtotal of Disbursements This Page	8,000.00
Total This Period	

For Line Number: 23

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NAME OF COMMITTEE Investment Management PAC of the Investment Company Institute

Name	Purpose :	Date:	Amount :
Wyden for Congress PO Box 12473 Portland, OR 97212	Contribution Election Type: Special Primary Debt Retirement	12/31/96	3,000.00

Subtotal of Disbursements This Page	3,000.00
Total This Period	11,000.00

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 1-17-97
☐	First Class Mail	POSTMARKED
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☐	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

PREPARER

1-17-97
DATE PREPARED

FEC FORM 70-2 (12/92)