REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee
(Summary Page)

03/14/2001 15 : 30

1. NAME OF COMMITTEE (in full)
Action Fund of Lehman Brothers Holdings Inc.

ADDRESS (number and street) ☐ Check if different than previously reported
200 Vesey Street 8th Floor

2. FEC IDENTIFICATION NUMBER
C00127670

CITY, STATE, and ZIP CODE
New York NY 10285

3. ☒ This committee has qualified as a multi-candidate 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

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 preceding _____ (election type)
election on _____ in the State of _____

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

(b) Is this Report an Amendment ☐ YES ☒ NO

SUMMARY 5. Covering Period 02/01/2001 through 02/28/2001	**COLUMN A** **This Period**	**COLUMN B** **Calendar Year-to-Date**
6. (a) Cash on Hand, January 1, 2001		115194.71
(b) Cash on Hand at Beginning of Reporting Period	112268.07	
(c) Total Receipts (from line 19)	9514.40	19143.38
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	121782.47	136338.09
7. Total Disbursements (from line 30)	33323.82	49879.44
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	88458.65	88458.65
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

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
Electronically Filed by Edward Grieb

Signature of Treasurer

Date
03/14/2001

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 9/98)

4-00173

DETAILED SUMMARY PAGE
OF RECEIPTS AND DISBURSEMENTS
(PAGE 2, FEC FORM 3X) (revised 1/1/91)

NAME OF COMMITTEE
Action Fund of Lehman Brothers Holdings Inc.

REPORT COVERING PERIOD
FROM 02/01/2001 TO: 02/28/2001

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)	240.00	240.00	11.a.i.
ii. Unitemized	9018.41	18330.17	11.a.ii.
iii. Total (add i and ii)»	9258.41	18570.17	11.a.iii.
b. Political Party Committees	0.00	0.00	11.b.
c. Other Political Committees (such as PACs)	0.00	0.00	11.c.
d. Total Contributions (add a iii, b and c)»	9258.41	18570.17	11.d.
12. Transfers From Affiliated/Other Party Committees	0.00	0.00	12.
13. All Loans Received	0.00	0.00	13.
14. Loan Repayments Received	0.00	0.00	14.
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.)	0.00	0.00	15.
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees	0.00	0.00	16.
17. Other Federal Receipts (Dividends, Interest, etc.)	255.99	573.21	17.
18. Transfers From Nonfederal Account for Joint Activity	0.00	0.00	18.
19. Total Receipts (add 11d, 12, 13, 14, 15, 16, 17, and 18)»	9514.40	19143.38	19.
20. Total Federal Receipts (subtract line 18 from line 19)»	9514.40	19143.38	20.
II. Disbursements			
21. Operating Expenditures:			
a. Shared Federal/Non-Federal Activity (from Schedule H4)			
i. Federal Share	0.00	0.00	21.a.i.
ii. Non-Federal Share	0.00	0.00	21.a.ii.
b. Other Federal Operating Expenditures	1323.82	1339.44	21.b.
c. Total Operating Expenditures (add a i, a ii, and b)»	1323.82	1339.44	21.c.
22. Transfers to Affiliated/Other Party Committees	0.00	0.00	22.
23. Contributions to Federal Candidates/Committees and Other Political Committees	32000.00	46540.00	23.
24. Independent Expenditures (use Schedule E)	0.00	0.00	24.
25. Coordinated Expenditures Made by Party Committees (2 U.S.C 441a(d)) (use Sch. F)	0.00	0.00	25.
26. Loan Repayments Made	0.00	0.00	26.
27. Loans Made	0.00	0.00	27.
28. Refunds of Contributions To:			
a. Individuals/Persons Other Than Political Committees	0.00	0.00	28.a.
b. Political Party Committees	0.00	0.00	28.b.
c. Other Political Committees (such as PACs)	0.00	0.00	28.c.
d. Total Contributions Refunds (add a, b, and c)»	0.00	0.00	28.d.
29. Other Disbursements	0.00	0.00	29.
30. Total Disbursements (add 21c, 22, 23, 24, 25, 26, 27, 28d, and 29)»	33323.82	49879.44	30.
31. Total Federal Disbursements (subtract line 21 a ii from line 30)»	33323.82	49879.44	31.
III. Net Contributions / Operating Expenditures			
32. Total Contributions (other than loans) (from line 11d)	9258.41	18570.17	32.
33. Total Contribution Refunds (from line 28d)	0.00	0.00	33.
34. Net Contributions (other than loans) (subtract line 33 from 32)	9258.41	18570.17	34.
35. Total Federal Operating Expenditures (add 21 a i and 21 b)»	1323.82	1339.44	35.
36. Offsets to Operating Expenditures (from line 15)	0.00	0.00	36.
37. Net Operating Expenditures (subtract line 36 from 35)»	1323.82	1339.44	37.

SCHEDULE A — ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER 11A1

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 (In Full)
Action Fund of Lehman Brothers Holdings Inc.

Full Name, Mailing Address, and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
FIDELIA-DAGUILLARD NADJA 200 VESEY ST. 27TH FLOOR NEW YORK NY 10285 Receipt For: ☐ Primary ☐ General ☐ Other (specify) :	LEHMAN BROTHERS Occupation: VICE PRESIDENT Aggregate Year-to-Date > $ 180.00	02/09/2001	60.00
FIDELIA-DAGUILLARD NADJA 200 VESEY ST. 27TH FLOOR NEW YORK NY 10285 Receipt For: ☐ Primary ☐ General ☐ Other (specify) :	LEHMAN BROTHERS Occupation: VICE PRESIDENT Aggregate Year-to-Date > $ 240.00	02/23/2001	60.00
LISTER JAMES 200 VESEY ST. 27TH FLOOR NEW YORK NY 10285 Receipt For: ☐ Primary ☐ General ☐ Other (specify) :	LEHMAN BROTHERS Occupation: VICE PRESIDENT Aggregate Year-to-Date > $ 180.00	02/09/2001	60.00
LISTER JAMES 200 VESEY ST. 27TH FLOOR NEW YORK NY 10285 Receipt For: ☐ Primary ☐ General ☐ Other (specify) :	LEHMAN BROTHERS Occupation: VICE PRESIDENT Aggregate Year-to-Date > $ 240.00	02/23/2001	60.00

SUBTOTALS of Receipts This Page (Optional)	
TOTALS This Period (last page this line number only)	**240.00**

SCHEDULE A	ITEMIZED RECEIPTS	Use separate schedule(s) for each category of the Detailed Summary Page	4 / 7 FOR LINE NUMBER 17

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NAME OF COMMITTEE (In Full)
Action Fund of Lehman Brothers Holdings Inc.

Full Name, Mailing Address, and ZIP Code	Name of Employer	Date (month, day, year)	Amount of Each Receipt this Period
First Union Bank of Washington One First Union Center 1164 Charlotte NC 28288		02/28/2001	255.99
Receipt For: ☐ Primary ☐ General ☐ Other (specify) :	Occupation		
	Aggregate Year-to-Date > 5 573.21		

SUBTOTALS of Receipts This Page (Optional)	
TOTALS This Period (last page this line number only)	**255.99**

SCHEDULE B	ITEMIZED DISBURSEMENTS	Use separate schedule(s) for each category of the Detailed Summary Page	5 / 7 FOR LINE NUMBER 23

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NAME OF COMMITTEE (In Full)
Action Fund of Lehman Brothers Holdings Inc.

Full Name, Mailing Address, and ZIP Code	Purpose of Disbursement	Date (month, day, year)	Amount of Each Disbursement This Period
Friends of Houghton P.O. Box 1107 Corning NY 14830	Contribution made to Non-affiliated (House - NY - 31) Disbursement for: [X] Primary [ ] General [ ] Other (specify) :	02/05/2001	1000.00
Torricelli for U.S. Senate 1300 Connecticut Ave. #600 Washington DC 20036	Contribution made to Non-affiliated (Senate - NJ -) Disbursement for: [ ] Primary [X] General [ ] Other (specify) :	02/08/2001	1000.00
Torricelli for U.S. Senate 1300 Connecticut Ave. #600 Washington DC 20036	Contribution made to Non-affiliated (Senate - NJ -) Disbursement for: [X] Primary [ ] General [ ] Other (specify) :	02/08/2001	4000.00
Securities Industry Assn PAC (SIA PAC) 1401 Eye St. NW Ste. 1000 Washington DC 20005	Contribution made to Non-affiliated (- DC -) Disbursement for: [ ] Primary [ ] General [X] Other (specify) : Not Applicable	02/15/2001	5000.00
Futures Industry PAC (FIPAC) 2001 Pennsylvania Ave. Ste. 600 Washington DC 20006	Contribution made to Non-affiliated (- DC -) Disbursement for: [ ] Primary [ ] General [X] Other (specify) : Not Applicable	02/15/2001	3000.00
Cmte to Re-elect Marge Roukema P.O. Box 625 Ridgewood NJ 07451	Contribution made to Non-affiliated (House - NJ - 5) Disbursement for: [X] Primary [ ] General [ ] Other (specify) :	02/15/2001	1000.00
Democratic Congressional Camp. Cmte 430 S. Capitol St. SE 2nd Fl. Washington DC 20003	Contribution made to Non-affiliated (- DC -) Disbursement for: [ ] Primary [ ] General [X] Other (specify) : Not Applicable	02/15/2001	5000.00
Bond Market Assn PAC 1445 New York Ave. NW 8th Fl. Washington DC 20005	Contribution made to Non-affiliated (- DC -) Disbursement for: [ ] Primary [ ] General [X] Other (specify) : Not Applicable	02/15/2001	5000.00
Moore for Congress P.O. Box 14631 Shawnee Mission KS 66285	Contribution made to Non-affiliated (House - KS - 3) Disbursement for: [X] Primary [ ] General [ ] Other (specify) :	02/20/2001	500.00

SUBTOTALS of Disbursements This Page (Optional) .....

TOTALS This Period (last page this line number only) .....

SCHEDULE B	ITEMIZED DISBURSEMENTS	Use separate schedule(s) for each category of the Detailed Summary Page	6 / 7 FOR LINE NUMBER 23

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NAME OF COMMITTEE (In Full)
Action Fund of Lehman Brothers Holdings Inc.

Full Name, Mailing Address, and ZIP Code	Purpose of Disbursement	Date (month, day, year)	Amount of Each Disbursement This Period
Castle Campaign Fund P.O. Box 133 Wilmington DE 19899	Contribution made to Non-affiliated (House - DE - 1) Disbursement for: [X] Primary [ ] General [ ] Other (specify) :	02/27/2001	500.00
New Democrat Network 501 Capitol Court NE #200 Washington DC 20002	Contribution made to Non-affiliated (- DC -) Disbursement for: [ ] Primary [ ] General [X] Other (specify) : Not Applicable	02/27/2001	5000.00
Re-Elect Nancy Johnson to Congress P.O. Box 1986 New Britain CT 06050	Contribution made to Non-affiliated (House - CT - 6) Disbursement for: [X] Primary [ ] General [ ] Other (specify) :	02/27/2001	1000.00

SUBTOTALS of Disbursements This Page (Optional)	
TOTALS This Period (last page this line number only)	**32000.00**

SCHEDULE B	ITEMIZED DISBURSEMENTS	Use separate schedule(s) for each category of the Detailed Summary Page	7 / 7 FOR LINE NUMBER 21b

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NAME OF COMMITTEE (In Full)
Action Fund of Lehman Brothers Holdings Inc.

Full Name, Mailing Address, and ZIP Code	Purpose of Disbursement	Date (month, day, year)	Amount of Each Disbursement This Period
Chase Manhattan Bank 100 World Trade Center Concourse New York NY 10048	Administrative Expense (- NY -) Disbursement for: ☐ Primary ☐ General ☒ Other (specify) : Not Applicable	02/13/2001	1323.82

SUBTOTALS of Disbursements This Page (Optional)	
TOTALS This Period (last page this line number only)	**1323.82**