

# REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee  
(Summary Page)

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1999 DEC 17 A 10:48

<b>1. NAME OF COMMITTEE (in full)</b> Investment Management Political Action Committee of the Investment Company Institute	
<b>ADDRESS (number and street)</b> <input type="checkbox"/> Check if different than previously reported 1401 H Street NW	<b>2. FEC IDENTIFICATION NUMBER</b> C00105981
<b>CITY, STATE and ZIP CODE</b> Washington, DC 20005	<b>3. <input checked="" type="checkbox"/> This committee has qualified as a multicandidate committee. (see FEC FORM 1M)</b>

**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:**

- |                                   |                                    |  |
|-----------------------------------|------------------------------------|--|
| <input type="radio"/> February 20 | <input type="radio"/> June 20      | <input type="radio"/> October 20             |
| <input type="radio"/> March 20    | <input type="radio"/> July 20      | <input type="radio"/> November 20            |
| <input type="radio"/> April 20    | <input type="radio"/> August 20    | <input checked="" type="radio"/> December 20 |
| <input type="radio"/> May 20      | <input type="radio"/> September 20 | <input type="radio"/> January 31             |

Twelfth day report preceding election on \_\_\_\_\_ in the State of \_\_\_\_\_

Thirtieth day report following the General Election on \_\_\_\_\_ in the State of \_\_\_\_\_

SUMMARY	COLUMN A This Period	COLUMN B Calendar Year-to-Date
5. Covering Period <u>11/01/99</u> through <u>11/30/99</u>		
6. (a) Cash on Hand January 1, 19 99		\$ 75,788.29
(b) Cash on Hand at Beginning of Reporting Period	\$ 108,802.26	
(c) Total Receipts (from Line 19)	\$ 7,184.82	\$ 305,488.56
(d) Subtotal ( add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	\$ 115,987.08	\$ 381,276.85
7. Total Disbursements (from Line 20)	\$ 32,000.00	\$ 297,289.77
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	\$ 83,987.08	\$ 83,987.08
9. Debts and Obligations Owed TO the Committee (itemize all on Schedule C and/or Schedule D)	\$	For Further Information Contact: Federal Election Commission 888 E Street, NW Washington, DC 20463 Toll Free 800-424-9630 Local 202-218-3420
10. Debts and Obligations Owed BY the Committee (itemize all on Schedule C and/or Schedule D)	\$	

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

Date

12/16/99

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 11/01/98 TO 11/30/99	
	COLUMN A Total This Period	COLUMN B Calendar Year
<b>I. Receipts</b>		
11. Contributions (other than loans) From:		
a. Individual/Persons Other Than Political Committees:		
I. Itemized (use Schedule A)	6,999.13	225,326.13
II. Unitemized		1,850.00
III. Total (add I and II)	6,999.13	227,176.13
b. Political Party Committees		75,500.00
c. Other Political Committees (such as PACs)		
d. Total Contributions (add a ii, b and c)	6,999.13	302,676.13
12. Transfers From Affiliated/Other Party Committees		
13. All Loans Received		
14. Loan Repayments Received		
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.)		1,000.00
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees		
17. Other Federal Receipts (Dividends, Interest, etc.)	185.69	1,812.43
18. Transfers from Nonfederal Account for Joint Activity		
19. Total Receipts (add 11d, 12, 13, 14, 15, 16, 17, and 18)	7,184.82	305,488.56
20. Total Federal Receipts (subtract line 18 from line 19)	7,184.82	305,488.56
<b>II. Disbursements</b>		
21. Operating Expenditures		
a. Shared Federal/Non-Federal Activity (from Schedule H4)		
I. Federal Share		
II. Non-Federal Share		
b. Other Federal Operating Expenditures	-203.09	-1,729.01
c. Total Operating Expenditures (add a I, a II, and b)	-203.09	-1,729.01
22. Transfers to Affiliated/Other Party Committees		
23. Contributions to Federal Candidates/Committees and Other Political Committees	32,203.09	299,018.78
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)	32,000.00	297,289.77
31. Total Federal Disbursements (subtract line 21 a II from line 30)	32,000.00	297,289.77
<b>III. Net Contributions/Operating Expenditures</b>		
32. Total Contributions (other than loans)(from line 11d)	6,999.13	302,676.13
33. Total Contribution Refunds (from line 28d)	.00	.00
34. Net Contributions (other than loans)(subtract line 33 from 32)	6,999.13	302,676.13
35. Total Federal Operating Expenditures (add 21 a I and 21 b)	-203.09	-1,729.01
36. Offsets to Operating Expenditures (from line 15)	.00	.00
37. Net Operating Expenditures (subtract line 35 from 36)	-203.09	-1,729.01

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

Name	Name of Employer	Date	Amount
Bob Dickey SAFECO Plaza 4333 Brooklyn Ave. N.E. Seattle, WA 98185-0001	SAFECO Corporation Occupation President	11/03/99	1,000.00
<b>Aggregate Year-to-Date --&gt;</b>			\$1,000.00

Name	Name of Employer	Date	Amount
Randall H. Talbot 5069 154th Place, NE  Redmond, WA 98052	SAFECO Occupation SAFECO Life and Investments	11/03/99	500.00
<b>Aggregate Year-to-Date --&gt;</b>			\$500.00

Name	Name of Employer	Date	Amount
John Winthrop One North Adgers Wharf  Charleston, SC 29401	John Winthrop & Co. Occupation President	11/10/99	1,499.13
<b>Aggregate Year-to-Date --&gt;</b>			\$1,499.13

Name	Name of Employer	Date	Amount
Roger Eigsti SAFECO Plaza T22 Seattle, WA 98185-0001	SAFECO Corporation Occupation Chairman & Chief Executive Officer	11/18/99	500.00
<b>Aggregate Year-to-Date --&gt;</b>			\$500.00

Name	Name of Employer	Date	Amount
Andrew J. Donohue Two World Trade Ctr. 34th Fl. New York, NY 10048-0203	OppenheimerFunds, Inc. Occupation Exec. VP & General Counsel	11/29/99	1,000.00
<b>Aggregate Year-to-Date --&gt;</b>			\$1,000.00

<b>Subtotal of Receipts this page</b>	4,499.13
<b>Total this period</b>	

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

Name	Name of Employer	Date	Amount
Stephen G. Kasnet 60 State St.  Boston, MA 02109-1809	The Pioneer Group, Inc. <b>Occupation</b> Vice President	11/29/99	1,500.00
<b>Aggregate Year-to-Date</b> →			\$1,500.00

Name	Name of Employer	Date	Amount
Ann R. Leven 785 Park Ave. Apt. 20A New York, NY 10021	<b>Occupation</b> Independent Director - Delaware Funds	11/29/99	1,000.00
<b>Aggregate Year-to-Date</b> →			\$1,000.00

<b>Subtotal of Receipts this page</b>	2,500.00
<b>Total this period</b>	6,999.13

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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	11/30/99	185.69
<b>Aggregate Year-to-Date —&gt;</b>			<b>\$1,812.43</b>

<b>Subtotal of Receipts this page</b>	185.69
<b>Total this period</b>	185.69

**SCHEDULE B      ITEMIZED DISBURSEMENTS**Page 1 of 1  
For Line Number:    21b

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

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Investment Company Institute 1401 H St., NW Washington, DC 20005-3148	Inkind Contribution, See Line 23 <b>Election Type:</b>	11/30/99	-203.09

<b>Subtotal of Disbursements This Page</b>	-203.09
<b>Total This Period</b>	-203.09

**SCHEDULE B ITEMIZED DISBURSEMENTS**

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

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Thurman for Congress 9067 S.W. 190th Ave. Road Dunnellon, FL 34432	Contribution	11/10/99	1,000.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Nussle for Congress 223 W. Main St. Manchester, IA 52057	Contribution	11/10/99	1,000.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Ramstad for Congress 8100 Penn Ave. S., Suite 104 Bloomington, MN 55431	Contribution	11/10/99	500.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Schaffer for Congress 151 South College, #G Fort Collins, CO 80524	Contribution	11/10/99	500.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Pennsylvanians for Kanjorski 126 S. Franklin St. Wilkes Barre, PA 18701	Contribution	11/10/99	500.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Charle Gonzalez for Congress P.O. Box 12612 San Antonio, TX 78212	Contribution	11/10/99	500.00
	<b>Election Type:</b>	Primary	

<b>Subtotal of Disbursements This Page</b>	4,000.00
<b>Total This Period</b>	

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Name	Purpose :	Date:	Amount :
Largent for Congress 2424 E. 21st St. Suite B-100 Tulsa, OK 74114	Contribution	11/10/99	500.00
<b>Election Type: Primary</b>			
Royce for Congress P.O. Box 2776 Arlington, VA 22202	Contribution	11/10/99	1,000.00
<b>Election Type: Primary</b>			
Kennedy for Senate 426 C Street, NE Rear Building Washington, DC 20002	Contribution	11/10/99	1,000.00
<b>Election Type: Primary</b>			
Kind For Congress P.O. Box 184 La Crosse, WI 54602	Contribution	11/10/99	500.00
<b>Election Type: Primary</b>			
Fossella for Congress P.O. Box 060248 New Dorp Station Staten Island, NY 10306	Contribution	11/10/99	1,000.00
<b>Election Type: Primary</b>			
Congressman Bart Gordon Committee P.O. Box 2008 Murfreesboro, TN 37133	Contribution	11/10/99	500.00
<b>Election Type: Primary</b>			

**Subtotal of Disbursements This Page**  
**Total This Period**

4,500.00



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<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Kildee for Congress P.O. Box 317 Flint, MI 48501	Contribution	11/10/99	500.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Fattah for Congress 2043 Walnut First floor Philadelphia, PA 19103	Contribution	11/10/99	500.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Andrews for Congress P.O. Box 295 Oaklyn, NJ 08107	Contribution	11/10/99	1,000.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Grams 2000 2013 Second Avenue, North #30 Anoka, MN 55303	Contribution	11/10/99	1,000.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Sweeney for Congress 429 Clifton Corporate Park P.O. Box 4137 Clifton Parks, NY 12065	Contribution	11/10/99	500.00
	<b>Election Type:</b>	Primary	

<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Ben Cardin for Congress P.O. Box 65056 Baltimore, MD 21209	Contribution	11/10/99	1,000.00
	<b>Election Type:</b>	Primary	

<b>Subtotal of Disbursements This Page</b>	4,500.00
<b>Total This Period</b>	

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

<b>Name</b> Lazio 2000 ATTN: Anne Ekem 1212 New York Avenue, NW/Ste.350 Washington, DC 20005	<b>Purpose :</b> Contribution	<b>Date:</b> 11/10/99	<b>Amount :</b> 500.00
	<b>Election Type:</b> Primary		

<b>Name</b> Roh Senate Committee P.O. Box 105 Wilmington, DE 19899	<b>Purpose :</b> Contribution	<b>Date:</b> 11/10/99	<b>Amount :</b> 1,500.00
	<b>Election Type:</b> General		

<b>Name</b> Earl Pomeroy for Congress 1902 East Divide Avenue Bismarck, ND 58501	<b>Purpose :</b> Contribution	<b>Date:</b> 11/10/99	<b>Amount :</b> 500.00
	<b>Election Type:</b> Primary		

<b>Name</b> Chris Cox Congressional Committee P.O. Box 8088-C Newport Beach, CA 92658	<b>Purpose :</b> Contribution	<b>Date:</b> 11/10/99	<b>Amount :</b> 1,000.00
	<b>Election Type:</b> Primary		

<b>Name</b> Capuano for Congress P.O. Box 440305 Somerville, MA 02144	<b>Purpose :</b> Contribution	<b>Date:</b> 11/10/99	<b>Amount :</b> 500.00
	<b>Election Type:</b> Primary		

<b>Name</b> Bob Barr for Congress P.O. Box 4323 Marietta, GA 30061	<b>Purpose :</b> Contribution	<b>Date:</b> 11/10/99	<b>Amount :</b> 500.00
	<b>Election Type:</b> Primary		

<b>Subtotal of Disbursements This Page</b>	4,500.00
<b>Total This Period</b>	

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

Name	Purpose :	Date:	Amount :
Holt for Congress P.O. Box 782 Pennington, NJ 08534	Contribution	11/10/99	500.00
		<b>Election Type:</b> Primary	

Name	Purpose :	Date:	Amount :
Walter Jones for Congress P.O. Box 99667 Raleigh, NC 27624	Contribution	11/10/99	1,000.00
		<b>Election Type:</b> Primary	

Name	Purpose :	Date:	Amount :
Dave Camp for Congress P.O. Box 423 Midland, MI 48640	Contribution	11/10/99	1,000.00
		<b>Election Type:</b> Primary	

Name	Purpose :	Date:	Amount :
Foley for Congress P.O. Box 30505 Palm Beach Gardens, FL 33410	Contribution	11/10/99	1,000.00
		<b>Election Type:</b> Primary	

Name	Purpose :	Date:	Amount :
J.D. Hayworth for Congress 10789 N. 90th St. Scottsdale, AZ 85260	Contribution	11/10/99	1,000.00
		<b>Election Type:</b> Primary	

Name	Purpose :	Date:	Amount :
Engel for Congress P.O. Box 60 Bronx, NY 10465	Contribution	11/10/99	500.00
		<b>Election Type:</b> Primary	

Subtotal of Disbursements This Page

5,000.00

Total This Period

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

Name	Purpose :	Date:	Amount :
Weller for Congress P.O. Box 37 Joliet, IL 60434	Contribution	11/10/99	1,000.00
Election Type: Primary			
McCreey for Congress Committee P.O. Box 4650 Shreveport, LA 71134	Contribution	11/10/99	1,000.00
Election Type: Primary			
Phil Crane for Congress Committee 1104 Northwest Hwy. Palatine, IL 60067	Contribution	11/10/99	1,000.00
Election Type: Primary			
Hutchinson for Senate P.O. Box 998 Rogers, AR 72757	Contribution	11/10/99	500.00
Election Type: Primary			
Sherman for Congress 555 South Flower Street Suite 4510 Los Angeles, CA 90071	Contribution	11/10/99	1,500.00
Election Type: Primary			
Paul for Congress 2422 Bluewater Highway Surfside, TX 77541	Contribution	11/10/99	500.00
Election Type: Primary			

<b>Subtotal of Disbursements This Page</b>	5,500.00
<b>Total This Period</b>	

**SCHEDULE B ITEMIZED DISBURSEMENTS**

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<b>NAME OF COMMITTEE</b> Investment Management PAC of the Investment Company Institute			
<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Reynolds for Congress P.O. Box 141 Williamsville, NY 14231	Contribution	11/10/99	500.00
<b>Election Type: Primary</b>			
<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Friends of Kent Conrad P.O. Box 812 Bismarck, ND 58502	Contribution	11/10/99	1,000.00
<b>Election Type: General</b>			
<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
People for English P.O. Box 1940 Erle, PA 16507	Contribution	11/10/99	500.00
<b>Election Type: Primary</b>			
<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Friends of Joe Baca P.O. Box 362 San Bernardino, CA 92404	Contribution	11/10/99	1,000.00
<b>Election Type: Special General</b>			
<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Pryce for Congress 145 East Rich Street Columbus, OH 43215	Contribution	11/10/99	1,000.00
<b>Election Type: Primary</b>			
<b>Name</b>	<b>Purpose :</b>	<b>Date:</b>	<b>Amount :</b>
Investment Company Institute 1401 H Street, NW/Suite 1200 Washington, DC 20005	Bentsen for Congress - Salary & Overhead	11/30/99	203.09
<b>Election Type: Primary</b>			<b>IN-KIND</b>

<b>Subtotal of Disbursements This Page</b>	4,203.09
<b>Total This Period</b>	32,203.09

