

Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon Building
Washington, DC 20515

<http://lobbyingdisclosure.house.gov>

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

<http://www.senate.gov/lobby>

LOBBYING REPORT

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

1. Registrant Name <input checked="" type="checkbox"/> Organization/Lobbying Firm <input type="checkbox"/> Self Employed Individual			
Financial Industry Regulatory Authority (FINRA)(formerly known as NASD)			
2. Address <input type="checkbox"/> Check if different than previously reported			
Address1	1735 K STREET, NW		
Address2			
City	WASHINGTON		
State	DC		
Zip Code	20006		
Country	USA		
3. Principal place of business (if different than line 2)			
City			
State			
Zip Code			
Country			
4a. Contact Name	b. Telephone Number	c. E-mail	5. Senate ID#
Ms. JULIE BAUER	<input type="checkbox"/> International Number (202) 728-8217		304097-12
7. Client Name	<input checked="" type="checkbox"/> Self <input type="checkbox"/> Check if client is a state or local government or instrumentality		6. House ID#
Financial Industry Regulatory Authority (FINRA)(formerly known as NASD)			364250000

TYPE OF REPORT 8. Year 2011 Q1 (1/1 - 3/31) Q2 (4/1 - 6/30) Q3 (7/1-9/30) Q4 (10/1 - 12/31)

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 Issue Activity

INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

12. Lobbying	13. Organizations
INCOME relating to lobbying activities for this reporting period was:	EXPENSE relating to lobbying activities for this reporting period were:
<u>Less than \$5,000</u> <input type="checkbox"/>	<u>Less than \$5,000</u> <input type="checkbox"/>
<u>\$5,000 or more</u> <input checked="" type="checkbox"/> \$ _____	<u>\$5,000 or more</u> <input checked="" type="checkbox"/> \$ <u>300,000.00</u>
Provide a good faith estimate, rounded to the nearest \$10,000, 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).	14. REPORTING Check box to indicate expense accounting method. See instructions for description of options.
	<input type="checkbox"/> Method A. Reporting amounts using LDA definitions only
	<input type="checkbox"/> Method B. Reporting amounts under section 6033(b)(8) of the Internal Revenue Code
	<input checked="" type="checkbox"/> Method C. Reporting amounts under section 162(e) of the Internal Revenue Code

Signature Digitally Signed By: Julie Bauer

Date 04/21/2011

Printed Name and Title Julie Bauer, VP, Government Relations

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. Add additional page(s) as needed.

15. General issue area code (one per page)

16. Specific lobbying issues

Harmonizing regulation of broker-dealers and investment advisers; regulation of securities industry and markets; investor protection and education. Implementation of Dodd-Frank Wall Street and Consumer Protection Act.

17. House(s) of Congress and Federal agencies Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE, Securities & Exchange Commission (SEC)

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

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Howard	Schloss			<input type="checkbox"/>
Julie	Bauer			<input type="checkbox"/>
Matthew	Shimkus			<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>
				<input type="checkbox"/>

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

Printed Name and Title Julie Bauer, VP, Government Relations