



Interim Lobbying - Quarterly Expense Report

Received
JAN 24 2014
 Philadelphia Board of Ethics

(Please Type or Print in Ink)			
<input type="checkbox"/> Check Box if AMENDMENT			
01 Today's Date (month/day/year)	Year	Quarter	PLIS Number (Office Use Only)
1/15/2014	2013	4	
Type of Filer			
<input checked="" type="checkbox"/> Principal	<input type="checkbox"/> Lobbyist		<input type="checkbox"/> Lobbying Firm
02 FILER INFORMATION			
Name of Filer		Email Address	Phone Number
Merrill Lynch, Pierce, Fenner & Smith, Incorporated		david.mitchell@bankofamerica.com	(980) 386-3245
Permanent Business Address	City	State	Zip Code
100 N Tryon Street; NC1-007-22-32	Charlotte	NC	28255
03 LOBBYING EXPENDITURES			
<input checked="" type="checkbox"/> Total Lobbying Expenses did not exceed \$2,500 during this quarter. If you check this box, leave the rest of this section blank and move to Section 09.			
Total Expenditures for Direct Communication			\$
Total Expenditures for Indirect Communication			\$
Total Expenditures for Gifts, Hospitality, Transportation and Lodging			\$
Total Lobbying Expenditures for the Quarter			\$

06 CITY OFFICIALS/EMPLOYEES WHO RECEIVED GIFTS, HOSPITALITY, TRANSPORTATION OR LODGING

Name of Recipient City Official/Employee	Department & Position of Recipient City Official/Employee	Description of Item	Value of Item	Date	Place of Receipt	Name & Address of the Source of the Item

07 REPAYMENTS TO PRINCIPALS FOR GIFTS, HOSPITALITY, TRANSPORTATION OR LODGING

Recipient of Item	Description of Item	Value of Item	Repayment Amount

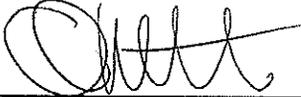
08 SOURCE(S) OF CONTRIBUTIONS TO PRINCIPAL

Name of Individual, Association, Corporation, Partnership, Business Trust or Other Business	Permanent Business Address	City, State, Zip	Daytime Telephone Number

09 PRINCIPAL AFFIRMATION

By affixing my signature to this expense report, I affirm that I have actual knowledge of the contents of this expense report and that the information reported herein is valid, accurate, and complete to the best of my knowledge. To the best of my knowledge at all times relevant to this quarterly expense reporting period, I have complied with the requirements of City Code §20-1205(5). I acknowledge that this affirmation is being made subject to 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities). I consent to receive service of notices, other official mailings, or process at the address or email listed in this expense report.

INDIVIDUAL AFFIRMING CONTENTS OF EXPENSE REPORT

NAME	PHONE NUMBER	EMAIL ADDRESS
David Mitchell	(980) 386-3245	david.mitchell@bankofamerica.com
SIGNATURE		DATE
		1/15/2014

NAME OF PRINCIPAL: Merrill Lynch, Pierce, Fenner & Smith, Incorporated

YEAR: 2013

QUARTER: 4

10 LOBBYIST OR LOBBYING FIRM AFFIRMATION - Use a separate sheet for each Lobbyist or Lobbying Firm.

Name of Lobbyist or Lobbying Firm	Email Address	Phone Number	
David (Scott) Detar	scott.detarjr@baml.com	(980) 386-0889	
Permanent Business Address	City	State	Zip Code
214 N Tryon Street	Charlotte	NC	28255

LOBBYIST OR LOBBYING FIRM AFFIRMATION

- By affixing my signature to this expense report, I affirm that I have actual knowledge of the contents of this expense report and that the information reported herein is valid, accurate, and complete to the best of my knowledge. To the best of my knowledge at all times relevant to this quarterly expense reporting period, I have complied with the requirements of City Code §20-1205(5). I acknowledge that this affirmation is being made subject to 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities). I consent to receive service of notices, other official mailings, or process at the address or email listed in this expense report.
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AUTHORIZED SIGNATURE

DATE

J. Scott Detar

1/15/14

STATEMENT OF LIMITED KNOWLEDGE

NAME OF PRINCIPAL:

Merrill Lynch, Pierce, Fenner & Smith, Incorporated

YEAR:

2013

QUARTER:

4

10 LOBBYIST OR LOBBYING FIRM AFFIRMATION - Use a separate sheet for each Lobbyist or Lobbying Firm.

Name of Lobbyist or Lobbying Firm	Email Address	Phone Number	
Christopher Fink	christopher.fink@baml.com	(646) 743-1330	
Permanent Business Address	City	State	Zip Code
One Bryant Park	New York	NY	10036

LOBBYIST OR LOBBYING FIRM AFFIRMATION

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NAME OF PRINCIPAL: Merrill Lynch, Pierce, Fenner & Smith, Incorporated

YEAR: 2013

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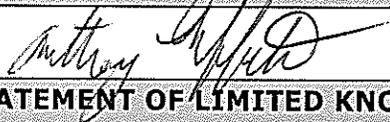
Name of Lobbyist or Lobbying Firm	Email Address	Phone Number	
Anthony Griffith	tony.griffith@baml.com	(215) 446-7015	
Permanent Business Address	City	State	Zip Code
1818 Market Street	Philadelphia	PA	19103

LOBBYIST OR LOBBYING FIRM AFFIRMATION

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DATE



1/16/2014

STATEMENT OF LIMITED KNOWLEDGE

NAME OF PRINCIPAL: Merrill Lynch, Pierce, Fenner & Smith, Incorporated

YEAR: 2013

QUARTER: 4

10 LOBBYIST OR LOBBYING FIRM AFFIRMATION - Use a separate sheet for each Lobbyist or Lobbying Firm.

Name of Lobbyist or Lobbying Firm	Email Address	Phone Number	
Ralph Saggiomo	ralph.saggiomo@baml.com	(215) 446-7075	
Permanent Business Address	City	State	Zip Code
1818 Market Street	Philadelphia	PA	19103

LOBBYIST OR LOBBYING FIRM AFFIRMATION

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AUTHORIZED SIGNATURE

DATE

Ralph A. Saggiomo

1/15/14

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NAME OF PRINCIPAL:

Merrill Lynch, Pierce, Fenner & Smith, Incorporated

YEAR:

2013

QUARTER:

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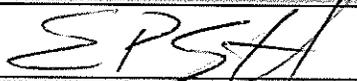
10 LOBBYIST OR LOBBYING FIRM AFFIRMATION - Use a separate sheet for each Lobbyist or Lobbying Firm.

Name of Lobbyist or Lobbying Firm	Email Address	Phone Number	
Eugene Spinelli	eugene.spinelli@baml.com	(215) 446-7018	
Permanent Business Address	City	State	Zip Code
1818 Market Street	Philadelphia	PA	19103

LOBBYIST OR LOBBYING FIRM AFFIRMATION

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DATE

1/16/2014

STATEMENT OF LIMITED KNOWLEDGE

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