

For Six Month Period Ending 3/31/02
(Insert date)

I - REGISTRANT

1. (a) Name of Registrant

(b) Registration No. 5331

Anne Smith Caparso (previously Anne Victoria Smith)

(c) Business Address(es) of Registrant

1725 I Street, NW, Suite 300/5, Washington, DC 20006
305 E. Oxford Avenue, Alexandria, VA 22301

2. Has there been a change in the information previously furnished in connection with the following:

(a) If an individual:

(1) Residence address

Yes ☐

No ☒

(2) Citizenship

Yes ☐

No ☒

(3) Occupation

Yes ☐

No ☒

(b) If an organization:

(1) Name

Yes ☐

No ☐

(2) Ownership or control

Yes ☐

No ☐

(3) Branch offices

Yes ☐

No ☐

(c) Explain fully all changes, if any, indicated in items (a) and (b) above.

Office address change noted above.

IF THE REGISTRANT IS AN INDIVIDUAL, OMIT RESPONSE TO ITEMS 3, 4, AND 5(a).

3. If you have previously filed Exhibit C¹, state whether any changes therein have occurred during this 6 month reporting period.

Yes ☐

No ☒

If yes, have you filed an amendment to the Exhibit C?

Yes ☐

No ☒

If no, please attach the required amendment.

¹ The Exhibit C, for which no printed form is provided, consists of a true copy of the charter, articles of incorporation, association, and by laws of a registrant that is an organization. (a waiver of the requirement to file an Exhibit C may be obtained for good cause upon written application to the Assistant Attorney General, Criminal Division, Internal Security Section, U.S. Department of Justice, Washington, D.C. 20530.)

4. (a) Have any persons ceased acting as partners, officers, directors or similar officials of the registrant during this 6 month reporting period? Yes ☐ No ☐

If yes, furnish the following information:

Name	Position	Date Connection Ended
------	----------	-----------------------

- (b) Have any persons become partners, officers, directors or similar officials during this 6 month reporting period? Yes ☐ No ☐

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
------	----------------------	-------------	----------	-----------------

5. (a) Has any person named in item 4(b) rendered services directly in furtherance of the interests of any foreign principal? Yes ☐ No ☐

If yes, identify each such person and describe his service.

- (b) Have any employee or individuals, who have filed a short form registration statement, terminated their employment or connection with the registrant during this 6 month reporting? Yes ☐ No ☐

If yes, furnish the following information:

Name	Position or connection	Date terminated
------	------------------------	-----------------

- (c) During this six month reporting period, has the registrant hired as employees or in any other capacity, any persons who rendered or will render services to the registrant directly in furtherance of the interests of any foreign principal(s) in other than a clerical or secretarial, or in a related or similar capacity? Yes ☐ No ☒

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
------	----------------------	-------------	----------	-----------------

6. Have short form registration statements been filed by all of the persons named in Items 5(a) and 5(c) of the supplemental statement? Yes ☐ No ☐

If no, list names of persons who have not filed the required statement.

II - FOREIGN PRINCIPAL

7. Has your connection with any foreign principal ended during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish the following information:

Name of foreign principal

Date of termination

8. Have you acquired any new foreign principal² during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish following information:

Name and address of foreign principal

Date acquired

9. In addition to those named in Items 7 and 8, if any, list foreign principals² whom you continued to represent during the 6 month reporting period.

Embassy of Japan
Partido Accion Nacional, Mexico

10. **EXHIBITS A AND B**

(a) Have you filed for each of the newly acquired foreign principals in Item 8 the following:

Exhibit A³Yes ☐No ☐Exhibit B⁴Yes ☐No ☐

If no, please attach the required exhibit.

(b) Have there been any changes in the Exhibits A and B previously filed for any foreign principal whom you represented during this six month period?

Yes ☐No ☐

If yes, have you filed an amendment to these exhibits?

Yes ☐No ☐

If no, please attach the required amendment.

² The term "foreign principal" includes, in addition to those defined in section 1(b) of the Act, an individual organization any of whose activities are directly or indirectly supervised, directed, controlled, financed, or subsidized in whole or in major part by a foreign government, foreign political party, foreign organization or foreign individual. (See Rule 100(a) (9)). A registrant who represents more than one foreign principal is required to list in the statements he files under the Act only those principals for whom he is not entitled to claim exemption under Section 3 of the Act. (See Rule 208.)

³ The Exhibit A, which is filed on form CRM-157 (Formerly OBD-67) sets forth the information required to be disclosed concerning each foreign principal.

⁴ The Exhibit B, which is filed on Form CRM-155 (Formerly OBD-65) sets forth the information concerning the agreement or understanding between the registrant and the foreign principal.

III - ACTIVITIES

-
11. During this 6 month reporting period, have you engaged in any activities for or rendered any services to any foreign principal named in Items 7, 8, and 9 of this statement? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail your activities and services:

Please see addendum.

-
12. During this 6 month reporting period, have you on behalf of any foreign principal engaged in political activity⁵ as defined below? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail all such political activity, indicating, among other things, the relations, interests and policies sought to be influenced and the means employed to achieve this purpose. If the registrant arranged, sponsored or delivered speeches, lectures or radio and TV broadcasts, give details as to dates, places, of delivery, names of speakers and subject matter.

Please see addendum.

-
13. In addition to the above described activities, if any, have you engaged in activity on your own behalf which benefits any or all of your foreign principals? Yes ☐ No ☒

If yes, describe fully.

⁵ The term "political activities" means any activity that the person engaging in believes will, or that the person intends to, in any way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting or changing the domestic or foreign policies of the United States or with reference to political or public interests, policies, or relations of a government of a foreign country or a foreign political party.

IV - FINANCIAL INFORMATION

14. (a) RECEIPTS-MONIES

During this 6 month reporting period, have you received from any foreign principal named in Items 7, 8, and 9 of this statement, or from any other source, for or in the interests of any such foreign principal, any contributions, income or money either as compensation or otherwise? Yes ☐ No ☒

If no, explain why.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies⁶

Date	From Whom	Purpose	Amount
------	-----------	---------	--------

Please see addendum.

Total

(b) RECEIPTS - FUND RAISING CAMPAIGN

During this 6 month reporting period, have you received, as part of a fund raising campaign⁷, any money on behalf of any foreign principal named in items 7, 8, and 9 of this statement? Yes ☐ No ☒

If yes, have you filed an Exhibit D to your registration? Yes ☐ No ☐

If yes, indicate the date the Exhibit D was filed. Date _____

(c) RECEIPTS-THINGS OF VALUE

During this 6 month reporting period, have you received any thing of value⁹ other than money from any foreign principal named in Items 7, 8, and 9 of this statement, or from any other source, for or in the interests of any such foreign principal?

Yes ☐ No ☒

If yes, furnish the following information:

Name of foreign principal	Date received	Description of thing of value	Purpose
---------------------------	---------------	-------------------------------	---------

^{6, 7} A registrant is required to file an Exhibit D if he collects or receives contributions, loans, money, or other things of value for a foreign principal, as part of a fund raising campaign. (See Rule 201(e).)

⁸ An Exhibit D, for which no printed form is provided, sets forth an account of money collected or received as a result of a fund raising campaign and transmitted for a foreign principal.

⁹ Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks," and the like.

15. (a) **DISBURSEMENTS-MONIES**

During this 6 month reporting period, have you

(1) disbursed or expended monies in connection with activity on behalf of any foreign principal named in Items 7, 8, and 9 of this statement? Yes ☐ No ☐

(2) transmitted monies to any such foreign principal? Yes ☐ No ☐

If no, explain in full detail why there were no disbursements made on behalf of any foreign principal.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies, including monies transmitted, if any, to each foreign principal.

Date	To Whom	Purpose	Amount
------	---------	---------	--------

I have incurred expenses during the reporting period such as the costs of taxis, couriers, photocopies, telephones and parking that have not been reimbursed by the principals.

Total

(b) DISBURSEMENTS-THINGS OF VALUE

During this 6 month reporting period, have you disposed of anything of value¹⁰ other than money in furtherance of or in connection with activities on behalf of any foreign principal named in Items 7, 8, and 9 of this statement?

Yes ☐No ☒

If yes, furnish the following information:

Date disposed	Name of person to whom given	On behalf of what foreign principal	Description of thing of value	Purpose
---------------	------------------------------	-------------------------------------	-------------------------------	---------

(c) DISBURSEMENTS-POLITICAL CONTRIBUTIONS

During this 6 month reporting period, have you from your own funds and on your own behalf either directly or through any other person, made any contributions of money or other things of value¹¹ in connection with an election to any political office, or in connection with any primary election, convention, or caucus held to select candidates for political office?

Yes ☐No ☒

If yes, furnish the following information:

Date	Amount or thing of value	Name of political organization	Name of candidate
------	--------------------------	--------------------------------	-------------------

10, 11 Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks" and the like.

V - INFORMATIONAL MATERIALS

16. During this 6 month reporting period, did you prepare, disseminate or cause to be disseminated any informational materials¹²?
 Yes ☐ No ☒

IF YES, RESPOND TO THE REMAINING ITEMS IN SECTION V.

17. Identify each such foreign principal.

18. During this 6 month reporting period, has any foreign principal established a budget or allocated a specified sum of money to finance your activities in preparing or disseminating informational materials? Yes ☐ No ☒

If yes, identify each such foreign principal, specify amount, and indicate for what period of time.

19. During this 6 month reporting period, did your activities in preparing, disseminating or causing the dissemination of informational materials include the use of any of the following:

- | | | | |
|---|---|--|---|
| ☐ Radio or TV broadcasts | ☐ Magazine or newspaper articles | ☐ Motion picture films | ☐ Letters or telegrams |
| ☐ Advertising campaigns | ☐ Press releases | ☐ Pamphlets or other publications | ☐ Lectures or speeches |
| ☐ Other (specify) _____ | | | |

20. During this 6 month reporting period, did you disseminate or cause to be disseminated informational materials among any of the following groups:

- | | | |
|--|---|---|
| ☐ Public Officials | ☐ Newspapers | ☐ Libraries |
| ☐ Legislators | ☐ Editors | ☐ Educational institutions |
| ☐ Government agencies | ☐ Civic groups or associations | ☐ Nationality groups |
| ☐ Other (specify) _____ | | |

21. What language was used in the informational materials:

- ☐ English ☐ Other (specify) _____

22. Did you file with the Registration Unit, U.S. Department of Justice a copy of each item of such informational materials disseminated or caused to be disseminated during this 6 month reporting period? Yes ☐ No ☐

23. Did you label each item of such informational materials with the statement required by Section 4(b) of the Act? Yes ☐ No ☐

12 The term informational materials includes any oral, visual, graphic, written, or pictorial information or matter of any kind, including that published by means of advertising, books, periodicals, newspapers, lectures, broadcasts, motion pictures, or any means or instrumentality of interstate or foreign commerce or otherwise. Informational materials disseminated by an agent of a foreign principal as part of an activity in itself exempt from registration, or an activity which by itself would not require registration, need not be filed pursuant to Section 4(b) of the Act.

VI--EXECUTION

In accordance with 28 U.S.C. § 1746, the undersigned swear(s) or affirm(s) under penalty of perjury that he/she has (they have) read the information set forth in this registration statement and the attached exhibits and that he/she is (they are) familiar with the contents thereof and that such contents are in their entirety true and accurate to the best of his/her (their) knowledge and belief, except that the undersigned make(s) no representation as to truth or accuracy of the information contained in the attached Short Form Registration Statement(s), if any, insofar as such information is not within his/her (their) personal knowledge.

(Date of signature)

(Type or print name under each signature¹³)

Anne Caporaso
Anne Caporaso

September 3, 2002

SEP 11 2002
 11 08 12
 11 08 12

¹³ This statement shall be signed by the individual agent, if the registrant is an individual, or by a majority of those partners, officers, directors or persons performing similar functions, if the registrant is an organization, except that the organization can, by power of attorney, authorize one or more individuals to execute this statement on its behalf.

**UNITED STATES DEPARTMENT OF JUSTICE
FARA REGISTRATION UNIT
CRIMINAL DIVISION
WASHINGTON, D.C. 20530**

NOTICE

Please answer the following questions and return this sheet in triplicate with your Supplemental Statement:

1. Is your answer to Item 16 of Section V (Informational Materials - page 8 of Form CRM-154, formerly Form OBD-64-Supplemental Statement):

YES _____ or NO X

(If your answer to question 1 is "yes" do not answer question 2 of this form.)

2. Do you disseminate any material in connection with your registration:

YES _____ or NO X

(If your answer to question 2 is "yes" please forward for our review copies of all material including: films, film catalogs, posters, brochures, press releases, etc. which you have disseminated during the past six months.)

Anne Smith Caporso
Signature

9/2/02
Date

Anne Smith Caporso
Please type or print name of
signatory on the line above

Principal
Title

**Addendum to Supplemental Statement
Period Ending March 31, 2002**

Anne Smith Caparso

Registration Number 5331

Anne Caparso

Embassy of Japan

11. I arranged a series of luncheon meetings for Embassy staff that allowed them to explain the position of the government of Japan relating to current foreign policy issues that affect the US-Japan relationship. My role has been to facilitate the meetings and I did attend these luncheons.

Luncheon meetings were held with the following Congressional staff:

10/5/01 - Jim Jatras, Policy Analyst, Senate Republican Policy Committee (to discuss foreign policy priorities in the Senate)

11/16/01 James Doran, Professional Staff Member, Senate Foreign Relations Committee (to discuss issues in Asia, missile defense and legislation in Congress relating to American prisoners of war)

2/13/02 - Jeffrey Gibbs, Legal Counsel, Senate Foreign Relations Committee (to discuss US and Japanese security issues and arms control issues)

3/8/02 - Robert Wilkie, Foreign Policy and Intelligence Advisor, Office of Senate Republican Leader Trent Lott (to discuss trade issues, the fight against terrorism and US defense policy.)

3/11/02 - Arch Galloway, Office of Senator Jeff Sessions (to discuss US defense policy and issues in the defense authorization/appropriations process.)

12. During the reporting period, I telephoned Congressional staff to ascertain the status of legislation relating to key foreign policy and domestic policy issues occurring in the United States and in Japan and between the United States and Japan. My role in these conversations was to inquire about the status of certain legislation and policy issues. In these conversations, I did not advocate any position on behalf of the embassy but rather facilitated discussions between Congressional staff and Embassy staff and relayed information to the Embassy regarding likely legislative action on issues of importance to Japan.

14. I received the following payments:

10/29/01	Embassy of Japan	\$3,360.00
11/30/01	Embassy of Japan	\$3,360.00
3/02/01	Embassy of Japan	\$3,200.00
4/20/01	Embassy of Japan	\$6,400.00

Partido Accion Nacional

11. As an international advisor to the National Action Party, my actions are designed to advance already good relations between Mexico and the United States and the party and the United States. I have telephoned and met with US government officials, think tank representatives and US and Mexican media representatives in preparation for the visits of Mexican party officials to Washington.

12. I arrange meetings between visiting PAN representatives and Congressional staff members, Members of Congress and Administration officials and I have attended these meetings. I meet and telephone Democratic and Republican Congressional staff on a regular basis to discuss bilateral

issues that are of interest to the party, including US-Mexico border issues, trade, immigration, and reform in Mexico under the Presidency of Vincente Fox. In this reporting period, meetings were arranged on several occasions for visiting delegations.

During the period of October 24, 27, 2001 the following meetings were arranged and held for Senator Fernando Margain and Deputy Carlos Borunda of Mexico. Issues discussed including policy changes in Mexico, the growing role of the Mexican legislature and policy positions of the National Action Party. They are as follows:

Bill McIlhenny, National Security Council, Office of Amb. Maisto
John Maisto, Director of Western Hemisphere Affairs, National Security Council
Amb. Roger Noriega, US Ambassador to the Organization of American States
Amb. Lino Gutierrez, Acting Assistant Secretary, Western Hemisphere, Department of State
Senator Chris Dodd (D-CT)
Senator Jesse Helms (R-NC)
Senator George Allen
Senator John McCain
Senator Robert Bennett
Senator Larry Craig
Senator Pete Domenici
Senator Peter Fitzgerald
Senator Phil Gramm
Senator James Inhofe
Senator Tim Hutchinson
Senator Jon Kyl
Senator Trent Lott
Senator Mitch McConnell
Senator Pat Roberts
Senator Rick Santorum
Senator Gordon Smith
Senator Ted Stevens
Senator Fred Thompson
Senator John Warner

During the period from January 30 to February 1, 2002 meetings were arranged and held with the following individuals during the visit of Deputy Carlos Borunda to Washington, DC. During these meetings specific issues were discussed such as the upcoming US-Mexico Interparliamentary Group meeting that is held annually between the congresses of the two countries, border issues and US and Mexican efforts to fight terrorism:

John Dawson, Mexican desk officer, Department of State
Jose Cardenas, Professional Staff Member, Senate Foreign Relations Committee
Pedro Pablo Permy, Professional Staff Member, House International Relations
Cong. Jim Kolbe
Senator Sam Brownback
Fran McNaught, Office of Cong. Kolbe
Janice O'Connell, Professional Staff Member, Senator Chris Dodd
Esther Olavarria, Professional Staff Member, Senator Ted Kennedy

14. I received one payment of \$10,000 on 2/15/02 from the Partido Accion Nacional for the purpose of my facilitation of the party's activities in Washington.