

For Six Month Period Ending 12/31/2009  
(Insert date)

**I - REGISTRANT**

1. (a) Name of Registrant (b) Registration No.  
Alcalde & Fay, Ltd. 5898

(c) Business Address(es) of Registrant  
2111 Wilson Boulevard  
8th Floor  
Arlington, VA 22201

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

- (a) If an individual:
- |                           |                              |  |
|---------------------------|------------------------------|--|
| (1) Residence address(es) | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (2) Citizenship           | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (3) Occupation            | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
- (b) If an organization:
- |                          |                              |  |
|--------------------------|------------------------------|--|
| (1) Name                 | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (2) Ownership or control | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (3) Branch offices       | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
- (c) Explain fully all changes, if any, indicated in items (a) and (b) above.  
N/A

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

3. If you have previously filed Exhibit C<sup>1</sup>, 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.

<sup>1</sup> 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, National Security Division, U.S. Department of Justice, Washington, DC 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
N/A	N/A	N/A

(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
N/A	N/A	N/A	N/A	N/A

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.

N/A

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

If yes, furnish the following information:

Name	Position or connection	Date terminated
N/A	N/A	N/A

(c) During this 6 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
N/A	N/A	N/A	N/A	N/A

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.

N/A

**II - FOREIGN PRINCIPAL**


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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

N/A

N/A

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8. Have you acquired any new foreign principal<sup>2</sup> during this 6 month reporting period?

Yes  No

If yes, furnish the following information:

Name and address of foreign principal

Date acquired

N/A

N/A

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9. In addition to those named in Items 7 and 8, if any, list foreign principals<sup>2</sup> whom you continued to represent during the 6 month reporting period.

Milanka Karic, Bogoljub Karic, and Dragomir Karic

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10. **EXHIBITS A AND B**

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

Exhibit A<sup>3</sup> Yes  No   
 Exhibit B<sup>4</sup> Yes  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 the 6 month period? Yes  No

If yes, have you filed an amendment to these exhibits? Yes  No

If no, please attach the required amendment.

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<sup>2</sup> 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.)

<sup>3</sup> The Exhibit A, which is filed on Form NSD-3 (Formerly CRM-157), sets forth the information required to be disclosed concerning each foreign principal.

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

### III - ACTIVITIES

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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:

Alcalde & Fay has, during this reporting period, assisted the Karics in their efforts to engage the United States government to become an active advocate for protecting free speech, human rights, and promoting a sound economy in Serbia. We have undertaken efforts to education and inform various members of Congress, persons at the executive agencies, and other institutions about the current political and human rights situation in Serbia by means of personal meetings and published documents. Specifically, our efforts have focused on promoting a free judiciary, advancing political stability and democratic reforms, and advocating transparency in Serbian government.

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12. During this 6 month reporting period, have you on behalf of any foreign principal engaged in political activity<sup>5</sup> 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 and places of delivery, names of speakers and subject matter.

For Milanka and Bogoljub Karic, Alcalde & Fay has assisted them in their efforts to engage the United States government to become an active advocate for protecting free speech, human rights, and promoting a sound economy in Serbia. We have undertaken effort to education and inform various members of Congress, persons at the executive agencies, and other institutions about the current political and human rights situation in Serbia by means of personal meetings and published documents. Specifically, our efforts have focused on promoting a free judiciary, advancing political stability and democratic reforms, and advocating transparency in Serbian government.

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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.

N/A

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<sup>5</sup> 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 the 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, or 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.

N/A

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies<sup>6</sup>.

Date	From whom	Purpose	Amount
9/22/09	Karic	Retainer for Services	\$25,539.95
10/27/09	Karic	Retainer for Services	\$50,100.75
12/29/09	Karic	Retainer for Services	\$50,011.07

\$125,651.77

                      
Total

**(b) RECEIPTS - FUND RAISING CAMPAIGN**

During this 6 month reporting period, have you received, as part of a fund raising campaign<sup>7</sup>, any money on behalf of any foreign principal named in items 7, 8, or 9 of this statement?      Yes       No

If yes, have you filed an Exhibit D<sup>8</sup> 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 value<sup>9</sup> other than money from any foreign principal named in Items 7, 8, or 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
N/A	N/A	N/A	N/A

<sup>6, 7</sup> 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).)

<sup>8</sup> 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.

<sup>9</sup> 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, or 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.

N/A

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
07/01/2009	Self/Alcalde & Fay	Telephone Services	\$6.70
		Copies	\$228.25
		USDOJ Exhibit A Filing Fee	\$305.00
08/01/2009	Self/Alcalde & Fay	Telephone/Communication Services	\$30.00
		Copies	\$28.75
09/01/2009	Self/Alcalde & Fay	Copies	\$42.00
10/01/2009	Self/Alcalde & Fay	Copies	\$3.75
		Postage	\$1.32
11/01/2009	Self/Alcalde & Fay	Telephone Services	\$5.00
		Copies	\$1.00

\$651.77

Total

**(b) DISBURSEMENTS – THINGS OF VALUE**

During this 6 month reporting period, have you disposed of anything of value<sup>10</sup> other than money in furtherance of or in connection with activities on behalf of any foreign principal named in Items 7, 8, or 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
N/A	N/A	N/A	N/A	N/A

**(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 value<sup>11</sup> 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
09/01/2009	\$125.00	Gillibrand for Senate	Senator Kirstin Gillibrand
09/29/2009	\$500.00	Hastings for Congress	Congressman Alcee Hastings
11/10/2009	\$100.00	Chairman Gray Constituent Fund	Chairman Vincent Gray, Council of the District of Columbia
12/10/2009	\$500.00	Rob Wittman for Congress	Congressman Rob Wittman
12/18/2009	\$250.00	Frank Wolf for Congress	Congressman Frank Wolf

<sup>10, 11</sup> 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 materials<sup>12</sup>?  
 Yes  No

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

17. Identify each such foreign principal.

Milanka and Bogoljub Karic

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.

Not Applicable

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:

- |   |   |  |  |
|---|---|--|--|
| <input type="checkbox"/> Radio or TV broadcasts | <input type="checkbox"/> Magazine or newspaper articles | <input type="checkbox"/> Motion picture films            | <input checked="" type="checkbox"/> Letters or telegrams |
| <input type="checkbox"/> Advertising campaigns  | <input type="checkbox"/> Press releases                 | <input type="checkbox"/> Pamphlets or other publications | <input type="checkbox"/> Lectures or speeches            |
| <input checked="" type="checkbox"/> Internet    | <input type="checkbox"/> 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:

- |   |   |   |
|---|---|---|
| <input checked="" type="checkbox"/> Public officials    | <input type="checkbox"/> Newspapers                   | <input type="checkbox"/> Libraries                |
| <input checked="" type="checkbox"/> Legislators         | <input type="checkbox"/> Editors                      | <input type="checkbox"/> Educational institutions |
| <input checked="" type="checkbox"/> Government agencies | <input type="checkbox"/> Civic groups or associations | <input type="checkbox"/> Nationality groups       |
| <input type="checkbox"/> 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

<sup>12</sup> 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 the 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 )

1-28-10

(Type or print name under each signature<sup>13</sup>)

*Shantrel Fields*

Shantrel Fields

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<sup>13</sup> 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.





**U.S. Department of Justice**

**National Security Division**

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*Washington, DC 20530*

THIS FORM IS TO BE AN OFFICIAL ATTACHMENT TO YOUR CURRENT SUPPLEMENTAL  
STATEMENT - PLEASE EXECUTE IN TRIPPLICATE

SHORT-FORM REGISTRATION INFORMATION SHEET

SECTION A

The Department records list active short-form registration statements for the following persons of your organization filed on the date indicated by each name. If a person is not still functioning in the same capacity directly on behalf of the foreign principal, please show the date of termination.

**Short Form List for Registrant: Alcalde & Fay, Ltd.**

<u>Last Name</u>	<u>First Name and Other Names</u>	<u>Registration Date</u>	<u>Termination Date</u>	<u>Role</u>
Hirshberg	Jennefer	12/09/2008		
Minakowski	Christopher	12/09/2008		
Fields	Shantrel	04/03/2009		
Wahlquist	Andrew	04/03/2009		

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U.S. Department of Justice

National Security Division

Washington, D.C. 20530

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SECTION B

In addition to those persons listed in Section A, list below all current employees rendering services directly on behalf of the foreign principals(s) who have not filed short-form registration statements. (Do not list clerks, secretaries, typists or employees in a similar or related capacity). If there is some question as to whether an employee has an obligation to file a short-form, please address a letter to the Registration Unit describing the activities and connection with the foreign principal.

Name	Function	Date Hired
NOT APPLICABLE		

Signature: Sho Field

Date: 1-28-10

Title: Partner