

Employee Post-Travel Disclosure of Travel Expenses

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

Date/Time Stamp:
SECRETARY OF THE SENATE
17 MAY 17 AM 11:04

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☐ The original *Employee Pre-Travel Authorization* (Form RE-1), AND
☐ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): DTCC

Travel date(s): May 4, 2017 and May 5, 2017

Name of accompanying family member (if any): N/A

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount	\$350	\$189	\$60	

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

This trip provided insight into the current state of our capital markets and future challenges.

Topics included market structure, cybersecurity, and Fintech. A complete itinerary is attached.

05/09/17
(Date)

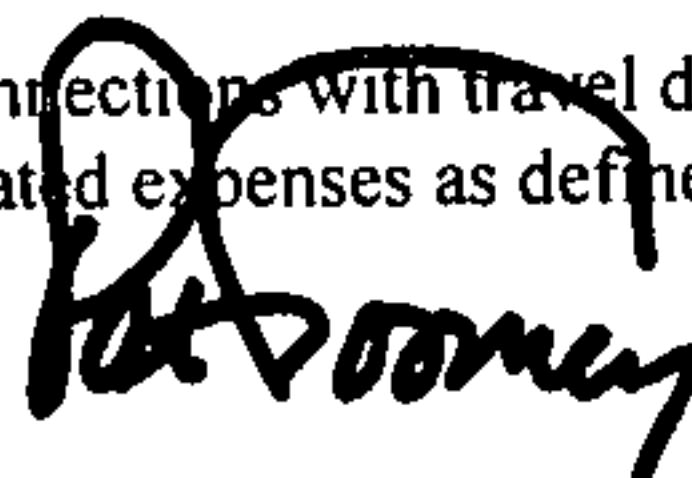
John Crews
(Printed name of traveler)


(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connection with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

05/17/2017
(Date)



(Signature of Supervising Senator/Officer)

Date/Time Stamp:

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics in SH-220**. Incomplete and late travel submissions will **not** be considered or approved. This form **must** be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: John Crews

Employing Office/Committee: Sen. Pat Toomey

Private Sponsor(s) (list all): DTCCC

Travel date(s): May 4, 2017 and May 5, 2017

*Note: If you plan to extend the trip for any reason you **must** notify the Committee.*

Destination(s): New York, NY

Explain how this trip is specifically connected to the traveler's official or representational duties:

I am a Legislative Assistant who handles financial services issues such as capital market structure and regulation for Sen. Toomey. Because the Senator serves on the Banking Committee, which has jurisdiction over many capital markets regulators, this trip will provide insights into the efficacy of current capital market policies and opportunities for their improvement.

Name of accompanying family member (if any): NA

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

04/03/2017
(Date)

John Crews
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Sen. Pat Toomey hereby authorize John Crews
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

04/03/2017
(Date)

Pat Toomey
(Signature of Supervising Senator/Officer)

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Securing Today. Shaping Tomorrow.®

Mark Wetjen
*Managing Director and Head of Global
Public Policy*

1455 Pennsylvania Ave NW
Suite 725
Washington, D.C. 20004

Tel: 202.383.2675
mwetjen@dtcc.com

March 17, 2017

John Crews
Legislative Aide
Sen. Toomey

Dear John,

On behalf of The Depository Trust & Clearing Corporation (DTCC), I would like to invite you to participate in the upcoming **Financial Markets Discussion Series** scheduled for May 5, 2017 in New York City. DTCC will partner with other industry leaders to provide you with informative panel discussions and interactive sessions touching on cutting-edge developments in the financial markets related to market structure, cybersecurity, and fintech, among others.

- WHAT:** Financial Markets Discussion Series
- WHO:** This event is designed for Congressional staffers who handle financial services policy for House Members, Senators, and relevant Congressional Committees.
- WHEN :** Thursday, May 4 (travel and overnight)
Friday, May 5 (all-day event)
- WHERE:** 55 Water Street, 36th Floor
New York, NY
- DETAILS:** The event will focus on current issues and updates impacting financial markets and will highlight topics such as:
- Market structure overview
 - Fintech developments
 - Cybersecurity challenges
 - Introduction to S&P Global

As in past years, DTCC has again partnered with **S&P Global and the InterContinental Exchange** to expand the scope of the discussion.

For those unfamiliar with DTCC, the event will provide an introduction to the critical role we play as the premier post-trade market infrastructure for the global financial services industry.

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Travel and Hotel Arrangements (May 4 – May 5, 2017)

DTCC will cover the cost of your train to/from New York City and hotel room the evening of Thursday, May 4. Accommodations can be made if participants prefer to travel via train the morning of Friday, May 5. Please find the necessary paperwork required for travel and working agenda outlining travel options attached. Please note that space is limited.

The House Ethics Committee and Senate Ethics Committee require a minimum of four weeks to process paperwork and grant approval for travel. Therefore, we are asking interested participants to RSVP to DTCC and have all forms submitted to Ethics **no later than April 4, 2017**.

To RSVP and coordinate travel arrangements, please contact:

- Katie Paisley at 202-383-2672 and kpaisley@dtcc.com
- Ted Serafini at 202-383-2677 and tserafini@dtcc.com
- Brian Werstler at 202-383-2676 and bwerstler@dtcc.com

About DTCC

With over 40 years of experience, DTCC is the premier post-trade market infrastructure for the global financial services industry. From operating facilities, data centers and offices in 16 countries, DTCC, through its subsidiaries, automates, centralizes and standardizes the post-trade processing of financial transactions, mitigating risk, increasing transparency and driving efficiency for thousands of broker/dealers, custodian banks and asset managers worldwide. Industry owned and governed, the firm simplifies the complexities of clearing, settlement, asset servicing, data management and information services across asset classes, bringing increased security and soundness to the financial markets. In 2015, DTCC's subsidiaries processed securities transactions valued at more than US\$1.5 quadrillion. Its depository provides custody and asset servicing for securities issues from over 130 countries and territories valued at US\$45.4 trillion. DTCC's global trade repository maintains approximately 40 million open OTC positions and processes roughly 280 million messages a week.

Sincerely,

Mark Wetjen
Managing Director, Head of Global Public Policy

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PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should NOT submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

-
1. Sponsor(s) of the trip (please list all sponsors): DTCC
-
2. Description of the trip: Senate and House staff will participate in a series of roundtables and briefings by financial market industry leaders to learn about topics and trends in market functions and regulation
-
3. Dates of travel: May 4 - 5, 2017
-
4. Place of travel: New York, NY
-
5. Name and title of Senate invitees: See attached
-
6. I *certify* that the trip fits one of the following categories:
- ☐ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
- OR
- ☒ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
-
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
- AND
- ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
-
8. I *certify* that:
- ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
- AND
- ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☒ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

=OR=

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

=OR=

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

DTCC planned the agenda, including inviting the participation of other industry members, and bore the full cost of travel and attendance for all Senate employees

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

DTCC is a user-owned and operated financial market utility with the mission of increasing efficiency and minimizing risk in the financial markets. DTCC's members and industry partners believe sharing information related to that mission with staff to policymakers serves to promote better public policy.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

DTCC has sponsored a similar trip (destination NYC for Senate Banking, Ag, Commerce, and Approps staff) numerous times in the past, with the most recent trip occurring in March 2015.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

DTCC hosts educational conferences and events in New York and Washington, including briefings

specifically tailored to the interests of Congressional staff on topics such as equity market structure, an

introduction to clearing and settlement, and an introduction to distributed ledger technology

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$350	\$189	\$60	N/A

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

B) - this trip is arranged specifically with regard to congressional participation

18. Reason for selecting the location of the event or trip

Site of DTCC's corporate headquarters

19. Name and location of hotel or other lodging facility:

DoubleTree New York Financial District

20. Reason(s) for selecting hotel or other lodging facility:

Combination of best rate within proximity to event location

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

The anticipated lodging and meal costs are less than the maximum per diem rates for official travel for NY

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Business-class (lowest fare available) Acela ticket

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

N/A

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: Mark Wetjen

Name and Title: Mark Wetjen, Managing Director and Head of Global Public Policy

Name of Organization: DTCC

Address: 1455 Pennsylvania Ave, NW Suite 725 Washington, DC 20004

Telephone Number: 202-383-2675

Fax Number: _____

E-mail Address: mwetjen@dtcc.com

Financial Markets Discussion Series Working Agenda

As indicated below, participants have the option of traveling to New York on Thursday, May 4 or Friday, May 5

Thursday, May 4, 2017

- 3:00 p.m.** **OPTION A: Depart for New York Penn Station via Amtrak Acela 2172**
- *Arrive Penn Station at 5:46 p.m.*
- 6:00 p.m.** **Depart New York Penn Station en route Hilton Doubletree (Financial District)**
- *8 Stone Street, New York, NY 10004*
- 6:30 p.m.** **Arrive Hotel and Proceed to Check-In**

Friday, May 5, 2017

- 5:00 a.m.** **OPTION B: Depart for New York Penn Station via Amtrak Acela 2100**
- *Arrive Penn Station at 7:54 a.m.*
 - *Depart via taxi for 55 Water Street to join group*
- 8:00 a.m.** **Gather in Lobby of Hilton Doubletree**
- *Please check out of hotel prior to gathering*
 - *Depart en route 55 Water Street*
- 8:15 a.m.** **Luggage Drop**
- *Location: Hilton lobby*
- 8:20 a.m.** **Depart en route 55 Water Street**
- *S&P Global escort from security desk*
- 8:30 – 9:00 a.m.** **Networking Breakfast**
- 9:00 – 10:50 a.m.** **Introduction to S&P Global**

10:50 – 11:00 a.m.	Break
11:00 – 11:10 a.m.	DTCC Background from Vice Chairman Larry Thompson
11:10 – 11:50 a.m.	Discussion 1: Fintech roundtable with Rob Palatnick
11:50 – 12:15 p.m.	Networking Lunch with DTCC President and CEO, Mike Bodson
12:15 – 1:15 p.m.	Discussion 2: Clearance and Settlement Overview and Industry Initiatives Discussion with Managing Director and Head of Clearing Services Murray Pozmanter
1:15 – 2:15 p.m.	Discussion 3: Cyber Security roundtable with DTCC CSIO Stephen Scharf
2:30 p.m.	Depart for ICE NYSE <ul style="list-style-type: none"> • <i>11 Wall Street</i>
2:45 – 3:45 p.m.	Overview of ICE NYSE: Equities, Futures and Company Listings
3:45 – 4:00 p.m.	Tour of Trading Floor
4:00 p.m.	Watch Closing Bell
4:30 p.m.	Networking Reception <ul style="list-style-type: none"> • <i>The Dead Rabbit Grocery and Grog – 30 Water Street</i>
6:00 p.m.	Depart for New York Penn Station
7:00 p.m.	Depart for Washington DC via Amtrak Acela 2171

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DTCC Financial Markets Discussion Series

May 4-5, 2017

	Name	Office	Title	Email
	Senate			
1	Gregg Richard	Senate Banking	Staff Director	gregg_richard@banking.senate.gov
2	Elad Roisman	Senate Banking	Chief Counsel	elad_roisman@banking.senate.gov
3	Joe Carapiet	Senate Banking	Senior Counsel	joe_carapiet@banking.senate.gov
4	Beth Zorc	Senate Banking	Senior Counsel	beth_zorc@banking.senate.gov
5	Jonathan McKernan	Sen. Corker	Legislative Assistant	jonathan_mckernan@corker.senate.gov
6	Douglas Sellers	Sen. Corker	Legislative Aide	douglas_sellers@corker.senate.gov
7	Geoff Okamoto	Sen. Toomey	Subcommittee Staff Director	geoffrey_okamoto@toomey.senate.gov
8	John Crews	Sen. Toomey	Legislative Aide	john_crews@toomey.senate.gov
9	Scott Riplinger	Sen. Heller	Legislative Assistant	scott_riplinger@heller.senate.gov
10	Ammon Simon	Sen. Sasse	Counsel	ammon_simon@sasse.senate.gov
11	Andrew Rothe	Sen. Rounds	Senior Legislative Assistant	andrew_rothe@rounds.senate.gov
12	Gerald Huang	Sen. Perdue	Legislative Assistant	gerald_huang@perdue.senate.gov
13	Tyler Williams	Sen. Tillis	Legislative Assistant	tyler_williams@tillis.senate.gov
14	Graham Steele	Senate Banking	Chief Counsel	graham_steele@banking.senate.gov
15	Elisha Tuku	Senate Banking	Senior Counsel	elisha_tuku@banking.senate.gov
16	Megan Cheney	Senate Banking	Legislative Assistant	megan_cheney@banking.senate.gov
17	James Ahn	Sen. Reed	Counsel	james_ahn@reed.senate.gov
18	Rebecca Schatz	Sen. Menendez	Legislative Counsel	rebecca_schatz@menendez.senate.gov
19	Kellin Clark	Sen. Tester	Legislative Assistant	kellin_clark@tester.senate.gov
20	Milan Dalal	Sen. Warner	Economic Adviser	milan_dalal@warner.senate.gov
21	Rafi Martina	Sen. Warner	Policy Adviser	rafi_martina@warner.senate.gov
22	Bharat Ramamurti	Sen. Warren	Counsel	bharat_ramamurti@warren.senate.gov
23	Craig Radcliffe	Sen. Heitkamp	Banking Legislative Assistant	craig_radcliffe@heitkamp.senate.gov
24	Nick Catino	Sen. Donnelly	Banking Legislative Assistant	nick_catino@donnelly.senate.gov
25	Mika Morse	Sen. Schatz	Legislative Counsel	mika_morse@schatz.senate.gov
26	Bill Dauster	Sen. Van Hollen	Policy Director	bill_dauster@vanhollen.senate.gov
27	Will Ruder	Sen. Moran	Legislative Director	william_ruder@moran.senate.gov
28	Zack Rosenblum	Sen. Schumer	Counsel	zack_rosenblum@schumer.senate.gov
29	Brendan Dunn	Sen. McConnell	Economic Advisor	brendan_dunn@mcconnell.senate.gov
30	Charlie Thornton	Senate Ag	Counsel	charlie_thornton@ag.Senate.gov
	House			