COVER SHEET FOR AMENDMENT OF POST-TRAVEL SUBMISSION

Date Stamp

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2018 DEC -7 PM 3:44

Instructions: Use this form as a cover sheet for any paperwork you may need to submit to the **Office of Public Records** in order to make your Privately Sponsored Post-Travel Submission complete in accordance with Rule 35. **Only complete this form if you need to submit an amendment to a post-travel filing you have already submitted.**

SUBMIT DIRECTLY TO THE **OFFICE OF PUBLIC RECORDS IN 232 HART BUILDING**

Name of Traveler: PHILIP AUSTIN

Employing Office/Committee: SENATOR PAT ROBERTS

Travel Expenses Paid by (List all sources): PROGRESSIVE POLICY INSTITUTE

Travel Date(s): SEPTEMBER 17 - SEPTEMBER 22, 2018

Description/Title of Attached Forms: • FORM RE-1
• TRIP INVITATION
• PSTCF
•

Purpose of Amendment (describe the reason for amending original submission): UPDATING ORIGINAL SUBMISSION

12/07/18
(Date)

(Signature of Traveler)

(Revised 4/19/2010)

EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:
Originally received 8/16/18
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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: Philip Austin

Employing Office/Committee: Senator Pat Roberts

Private Sponsor(s) (list all): Progressive Policy Institute

Travel date(s): 09/17/18 - 09/22/18

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

Destination(s): Dublin, Ireland and London, U.K.

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

As a legislative assistant for Senator Roberts, I am his primary advisor on tax policy in his capacity as a member of the Senate Finance Committee, and other financial services issues. As is stated on the itinerary for this trip, this mission will hold meetings directly related to the new U.S. tax law's impact on EU-US relations, the aftermath of Brexit and what it means for US-UK relations, and other financial issues. Several of the topics stated on the itinerary are directly related to my professional portfolio and responsibilities.

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

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:

9/4/18
(Date)

Philip G. Austin
(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, Senator Pat Roberts *(Print Senator's/Officer's Name)* hereby authorize Philip Austin *(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)* ☐

9/4/18
(Date)

Pat Roberts
(Signature of Supervising Senator/Officer)

(Revised 10/19/15)

Form RE-1

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ppi radically pragmatic

1200 New Hampshire Ave., NW
Suite 575 | Washington, DC 20036
Tel 202 525 3926
Fax 202 525 3941

On behalf of the Progressive Policy Institute (PPI), I'd like to invite you to join us for a transatlantic mission to Dublin and London from Monday, September 17 to Saturday, September 22, 2018.

This will be PPI's sixth time hosting a bipartisan delegation of senior congressional staff for high-level policy meetings in Europe and the United Kingdom with our transatlantic allies and partners. With an uncertain geopolitical landscape in Europe post-Brexit—and ever changing political dynamics in the United States—the desire from key players in Europe to meet and talk with their American counterparts in Congress is at a significantly heightened level. With this in mind, PPI believes it is important for U.S. policy professionals to experience and learn about the European view on critical issues not represented in domestic press reports and to inform our allies of Congress' work in these areas.

This mission will cover a wide range of topics and the schedule is not for the faint of heart; you will see much of Dublin and London in a short period of time!

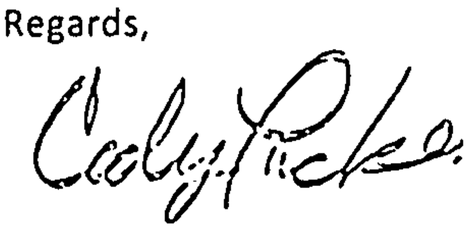
Specifically, this mission will hold meetings directly related to:

- Ongoing competition, or "State Aid," investigations targeting US multi-nationals
- The impact of digital privacy laws and crackdown on social media
- The aftermath of Brexit and what it means for US-UK relations
- The new U.S. tax law's impact EU-US relations
- The political landscape across Europe and its effect on the future of the EU when the UK officially exits in 2019

PPI is a non-profit 501 (c)(3) organization with the mission of providing educational programming on current policy issues. As such, this mission will comply with House and Senate ethics rules. PPI was a leader in the founding and push for the "Third Way" movement in the 1990s and has continued this work since then by maintaining relationships in Europe and producing informative and thought provoking transatlantic missions and reports.

I hope that you will be able to join us in what promises to be an insightful and educational mission to Dublin and London. Space is limited; please contact me at 202-775-0106 or ctucker@ppionline.org to RSVP or if you require further information.

Regards,



Cody Tucker
Director of Public Affairs
Progressive Policy Institute

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.

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1. Sponsor(s) of the trip (please list all sponsors): Progressive Policy Institute (PPI)

2. Description of the trip: To inform US congressional staff about issues related to US-EU relationship from a European perspective, including tax, trade, privacy, competition, anti-trust, and foreign policy.

3. Dates of travel: September 17 to September 22, 2018

4. Place of travel: Dublin, Ireland; London, United Kingdom

5. Name and title of Senate invitees: Please 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:

PPI is the sole sponsor in organizing and conducting the trip.

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

This trip is a continuation of nearly 30 years of PPI's work in Europe. The purpose of the trip is related to our mission of educating congressional staff on US-EU issues from a European perspective and how the EU and US governments can better work together on common issues.

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

PPI has sponsored congressional travel to New Orleans in 2001, New York City in 2015, and Europe from 2014 to 2018.

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

PPI is a think-tank working for pragmatic solutions to public policy issues through the development and analysis of policy proposals and hosting of educational programming.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
☒ Good Faith estimate ☐ Actual Amounts	$1300	$900	$600	

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 involves an event that is arranged or organized specifically with regard to congressional participation

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

Key European policy and political developments are being made in the locations of this trip.

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

Clayton Hotel Cardiff Lane, Dublin, Ireland; Strand Palace Hotel, London, United Kingdom

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

Location and cost

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:

All daily expenses are below the maximum per diem rates for offical Federal Government travel.

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:

Coach airplane travel will be provided.

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. (For trips involving more than one sponsor, you *must* include a completed signature page for each additional sponsor):

Signature of Travel Sponsor: _____

Name and Title: Lindsay Mark Lewis, Executive Director

Name of Organization: Progressive Policy Institute (PPI)

Address: 1200 New Hampshire Ave. NW Suite 575, Washington, D.C. 20036

Telephone Number: 202-617-4042

Fax Number: 202-525-3941

E-mail Address: llewis@ppionline.org

Senate Attendees

Alexis Alber
Legislative Counsel
Senator Ron Johnson (R-WI)

Alexis Alber serves as Legislative Counsel to Senator Ron Johnson advising the Senator on domestic and international tax policy and general economic issues. This trip will explore the impact of the new U.S. tax law on U.S.-EU relations, EU taxation on American companies operating in Europe, and future potential policy implications.

P.J. Austin
Legislative Assistant
Senator Pat Roberts (R-KS)

P.J. Austin serves as Legislative Assistant for Senator Pat Roberts advising the Senator on domestic and international tax policy and general economic policy issues. This trip will explore the impact of the new U.S. tax law on U.S.-EU relations, EU taxation on American companies operating in Europe, and future potential policy implications.

Zach Mallove
Legislative Assistant
Senator Patty Murray (D-WA)

Zach Mallove serves as Legislative Assistant to Senate Assistant Minority Leader Senator Patty Murray advising the Senator on domestic and international tax policy and economic issues. This trip will explore the impact of the new U.S. tax law on U.S.-EU relations, EU taxation on American companies operating in Europe, and future potential policy implications.

Tiffany Smith
Chief Tax Counsel, Minority Staff
Senate Finance Committee

Tiffany Smith serves as Chief Tax Counsel on the Senate Finance Committee advising Ranking Member Senator Ron Wyden on domestic and international tax policy. This trip will explore the impact of the new U.S. tax law on U.S.-EU relations, EU taxation on American companies operating in Europe, and future potential policy implications.

Derek Theurer
Senior Counsel
Senator Bill Cassidy (R-LA)

Derek Theurer serves as Senior Counsel to Senator Bill Cassidy advising the Senator on domestic and international tax policy and aiding to his work on the Senate Finance Committee and Joint Economic Committee. This trip will explore the impact of the new

U.S. tax law on U.S.-EU relations, EU taxation on American companies operating in Europe, and future potential policy implications.

Chad Maisel
Economic Policy Advisor
Senator Cory Booker (D-NJ)

Chad Maisel is Economic Policy Advisor to Senator Cory Booker advising the Senator on issues related to commerce, economics, budget and tax. This trip will explore the impact of the new U.S. tax law on U.S.-EU and U.S.-UK relations, EU taxation on American companies operating in Europe, and future potential policy implications.