

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

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2022 OCT 25 PM 2: 33

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.**

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): The Aspen Institute, Inc (Financial Security Program)

Travel date(s): October 17-19, 2022

Name of accompanying family member (if any): none

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)
☒ Good Faith Estimate ☐ Actual Amount	\$86.25	\$933.50 (\$466.75 per night, including tax)	\$553.50	\$30/night resort fee \$14 portorage (one time) \$4 housekeeping

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

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
☐ Good Faith Estimate ☐ Actual Amount				

Provide a description of all meetings and events attended. *See Senate Rule 35.2(c)(6).* (Attach additional pages if necessary.): Attended all meetings and events included in the agenda attached to employee's Pre-Travel

Authorization.

10/25/22
(Date)

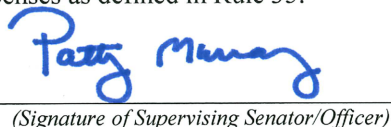
Joshua Oppenheimer
(Printed name of traveler)


(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

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

10/25/22
(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.

Josh Oppenheimer

Name of Traveler: _____

HELP Committee

Employing Office/Committee: _____

Private Sponsor(s) (list all): The Aspen Institute, Inc (Financial Security Program)Travel date(s): October 17-19, 2022*Note: If you plan to extend the trip for any reason you **must** notify the Committee.*Destination(s): Irvington, VA

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

The conference will discuss efforts and issues aimed at achieving retirement security for all. The HELP Committee's jurisdiction includes the laws governing retirement (e.g., the Employee Retirement Income Security Act), and, as Counsel for the HELP Committee, Traveler's official duties cover retirement policy.

Name of accompanying family member (if any): noneRelationship to Employee: ☐ Spouse ☐ Child

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

9/15/22

(Date)



(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):

Patty Murray

Josh Oppenheimer

I, _____ hereby authorize _____

(Print Senator's/Officer's Name)

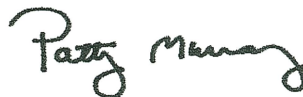
(Print Traveler's Name)

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) ☐

9/15/22

(Date)



(Signature of Supervising Senator/Officer)

Oppenheimer, Josh (HELP Committee)

From: Jason Ewas <Jason.Ewas@aspeninstitute.org>
Sent: Tuesday, August 2, 2022 5:35 PM
To: Oppenheimer, Josh (HELP Committee)
Subject: You're Invited: 2022 Aspen Leadership Forum on Retirement Savings

**LEADERSHIP FORUM ON
RETIREMENT SAVINGS**

Dear Josh,

We would like to invite you to join us in person for the **2022 Aspen Leadership Forum on Retirement Savings, October 17-19, 2022**, at the Tides Inn in Irvington, Virginia. Now in its sixth year, this invitation-only Forum is designed to advance bold, pragmatic, and effective solutions to one of the central financial challenges facing American households – the lack of adequate savings for retirement. The Forum offers an opportunity to join other thought leaders from diverse sectors to share your knowledge and perspectives, build trust, and converge on solutions that can create both income security and meaningful household wealth.

More information about the Aspen Leadership Forum on Retirement Savings can be found at www.aspenretirementforum.org/2022. You will be able to find all of the information you need about the Forum, including the high-level agenda and travel information. As we get closer to the event, we will be updating the agenda with featured speakers and participants. You can find information on past years' Forum events by visiting www.aspenretirementforum.org.

This is an invitation-only, in-person event, and we have carefully curated the invitation list to ensure a dynamic, provocative dialogue on the most promising – and challenging – ideas in this space right now. With limited physical space, we ask that you [RSVP here](#) no later than August 19 to let us know whether you will be able to join us. If you are unable to join for any reason, simply reply here and let us know via email so we can save your inbox from future updates.

Additionally, our program and legal team will work with you to ensure compliance with Congressional ethics rules and regulations for privately sponsored travel, including providing appropriate forms for review and approval by the Ethics office.

Should you have questions, please reach out to me or our events planner Chandra Lim (chandra.lim@aspeninstitute.org) at any time. Thank you, and we hope to see you in the Fall!

Sincerely,
Jason Ewas

Sent from [Mail](#) for Windows

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): The Aspen Institute, Inc (Financial Security Program)

 2. Description of the trip: To attend the Aspen Leadership Forum on Retirement Savings (ALFRS), a
conference to discuss efforts and issues aimed at achieving retirement security for all.

 3. Dates of travel: October 17-19, 2022

 4. Place of travel: Irvington, VA

 5. Name and title of Senate invitees: See attached list.

 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:

The Aspen Institute is the sole sponsor of this event and is solely responsible for the development
and execution of the convening.

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

The Aspen Institute is an educational and policy studies non-profit whose mission is to foster
leadership based on enduring values and provide a non partisan forum for the exchange of ideas.

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

The Aspen Institute has a nearly 40 year history of conducting non-partisan educational forums, which
often include members of Congress and staff. The Aspen Institute Financial Security Program has been
conducting ALFRS for 5 years.

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

The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences for a diverse range of attendees, including federal and state policymakers, business and organizational leaders, members of the press and the general public.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
☒ Good Faith estimate ☐ Actual Amounts	\$86.25	\$933.50 (466.75 per night, including tax)	\$553.50	\$30/night resort fee \$14 portorage (one time) \$4 housekeeping

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:

The event was organized without regard to congressional participation.

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

The location is close enough to DC while being large enough to accommodate the full conference and dialogue over several days.

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

The Tides Inn; 480 King Carter Drive, Irvington, VA 22480

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

The meeting space has sufficient meeting space and lodging to support non-partisan, multi-sector exchanges of ideas and professional learning.

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 lodging and meal expenses exceed the per diem rates; these are standard rates for the location,
the conference was planned without regard to congressional participation and all conference attendees
will receive the same lodging, meals and other expenses.

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:

Round trip coach-class transportation is provided via a shuttle between Washington DC and the Tides Inn.

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:

None

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: Elliot Gerson, EVP, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 2300 N Street, NW Suite 700 Washington, DC 20036

Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)

Fax Number:

E-mail Address: lisa.jones@aspeninstitute.org (Lisa Jones, Deputy General Counsel)

Appendix to Private Sponsor Travel Certification Form

Aspen Leadership Forum on Retirement Savings (ALFRS), October 17-19, 2022.

Question 5. Senate attendees are:

- Kendra Isaacson, Pensions Director and Senior Tax Counsel
- Josh Oppenheimer, Counsel at U.S. Senate Committee on Health, Education, Labor & Pensions (HELP)
- Melissa Sanchez, Policy Advisor, Senator Cory Booker

Question 11. Agenda for the Forum below:

THE ASPEN LEADERSHIP FORUM ON RETIREMENT SAVINGS

OCTOBER 17-19, 2022

THE TIDES INN, IRVINGTON, VIRGINIA

MONDAY, OCTOBER 17, 2022

5:00 - 6:30 P.M. | FORUM OPENING SESSION AND INTRODUCTIONS

6:30 - 9:00 P.M. | WELCOME COCKTAIL AND DINNER ON THE LAWN

TUESDAY, OCTOBER 18, 2022

8:00 A.M. | BREAKFAST LOUNGE IN CHESAPEAKE RESTAURANT

9:00 A.M. | DID THE PAST TWO YEARS CHANGE THE FUTURE? WHAT THE PANDEMIC REVEALED ABOUT THE FUTURE, AND WHAT THAT MEANS FOR RETIREMENT SAVINGS IN AMERICA

The pandemic revealed a great deal about American society, and its reverberations continue to be felt with the Great Resignation, inflation, and more. How have the past two years changed our shared future? What have we learned about the future during the past few years that we didn't know before? What future were we counting on, and how has it changed? And what does this future mean for the retirement savings system we need to build?

FEATURED DISCUSSANTS

Martha Deevy, Associate Director and Senior Research Scholar, Stanford Center on Longevity
Additional speakers to be announced

10:00 A.M. | PROGRESS REPORT: THE STATE OF PLAY ON KEY PRIORITIES, SIX YEARS INTO THE ASPEN LEADERSHIP FORUM ON RETIREMENT SAVINGS

In the six years since the Forum began, four key priorities for a more inclusive and effective retirement savings system have emerged: expanded access to workplace retirement savings, the development of emergency savings tools, increased portability, and solutions for decumulation. In this session, members of the Advisory Group for the Aspen Leadership Forum on Retirement Savings will reflect on the progress made so far, what lies ahead to advance these priorities – and what else we should add to the list.

FEATURED DISCUSSANTS

Kathleen Kennedy Townsend, Labor Secretary Marty Walsh's Special Assistant on Retirement Policy

Brant Wong, Head of Retirement Link & Retirement Strategy, JP Morgan Chase

Additional speakers to be announced

10:45 A.M. | BREAK**11:00 A.M. | TOWARD EQUITABLE OUTCOMES IN WORKPLACE RETIREMENT SAVINGS: CAN THE DEFINED CONTRIBUTION SYSTEM'S BENEFITS REALLY EXTEND TO EVERYONE?**

Retirement savings represent the second largest source of household wealth in the United States, but per the 2019 Survey of Consumer Finances, about 60 percent of white families participate in a retirement plan, compared to 45 percent of Black families and 34 percent of Hispanic families. These differences are not only consequential for financial security in retirement, but have repercussions for intergenerational wealth transfer. Any serious attempt to equitably build wealth for low wealth households in America will have to deal with these gaps and their drivers. In this session, leaders will spark a discussion about not only what is needed, but, importantly, what we think our current system is capable of when it comes to producing positive financial outcomes for everyone.

FEATURED DISCUSSANTS

Taha Choukhmane, Assistant Professor of Finance, MIT

Michael Davis, Head of Institutional Defined Contribution Specialists, North America, T. Rowe Price

Additional speakers to be announced

12:00 P.M. | POLICYMAKER FIRESIDE CHAT

Treasurer Stacy Garrity, Commonwealth of Pennsylvania

Tim Shaw, Associate Director of Policy, Aspen Institute Financial Security Program

12:30 P.M. | LUNCH ON THE CHESAPEAKE RESTAURANT TERRACE**1:15 P.M. | DEVELOPING FOUR YEAR ACTION PLANS ON KEY PRIORITIES**

Breakouts focused on the design and development of a strategic plan for the next four years.

Expanding Access to Automatic Enrollment

Katie Selenski, Executive Director, CalSavers

Developing Automatic Workplace Emergency Savings Tools

Will Sandbrook, Executive Director, NEST Insight

Increasing Portability of Retirement Savings Accounts

David John, Senior Strategic Policy Advisor, AARP Public Policy Institute

Patrice Willoughby, Vice President of Policy and Legislative Affairs Strategy, NAACP

Renée Wilder Guerin, Executive Vice President of Public Policy, Retirement Clearinghouse

2:45 P.M. | ACTIVITY AND RELATIONSHIP BUILDING BREAK

Attendees will opt-in to an array of activities to explore the best of the Tides Inn and their amenities.

4:15 P.M. | GUARANTEED, UNRESTRICTED INCOME AT ALL LIFE STAGES: WHAT THE WORLDS OF UNIVERSAL BASIC INCOME AND LIFETIME INCOME CAN LEARN FROM EACH OTHER

Right now, innovators in different industries and focused on different consumer life stages are working on solving a similar puzzle: how can we both increase and routine-ize the amount of non-labor income that people receive? The worlds of universal basic income and guaranteed lifetime retirement income might seem oceans apart, but key insights and lessons learned in one field might unlock new thinking and creativity in another. In this discussion, leaders with expertise in lifetime income and universal basic income will come together to tackle key questions about what people want and need out of regular income streams, the key characteristics and limitations of the existing tools we have to produce that income, and the questions we need to be asking ourselves about how to generate and sustain meaningful income in retirement.

FEATURED DISCUSSANTS

Dylan Tyson, President of Prudential Retirement Strategies, Prudential

Brian Van Wyk, Head of Asset Liability Management, Australian Retirement Trust

Additional speakers to be announced

5:00 P.M. | BIG IDEA: SHOULD 401KS START AT BIRTH?

Treasurer Sarah Godlewski, State of Wisconsin

5:15 P.M. | BREAK

6:30 P.M. | COCKTAILS AND DINNER ON THE BEACH

WEDNESDAY, OCTOBER 19, 2022**7:30 A.M. | BREAKFAST LOUNGE IN CHESAPEAKE RESTAURANT****8:30 A.M. | FINAL DAY REFLECTIONS AND OPEN DISCUSSION**

The morning will kick off with a conversation on the insights, learnings, and overall reflections from the past two days.

9:15 A.M. | DISCUSSIONS AT THE FRONTIER OF INCLUSIVE SAVING AND INVESTING

The idea of “home” as a retirement asset, blockchain and the distributed ledger, and mechanisms to build capital from birth through adulthood are emerging issues of focus for households, industry leaders, and policymakers. These breakout sessions will take a deep dive into one of these key emerging issues for our saving and investment system.

Beyond the Coin: How Might Blockchain and the Distributed Ledger Change How People Get Paid, Save, and Invest in the Workplace?

David Derryck, Entrepreneur-in-Residence, Aspen Institute Financial Security Program

The Intersection of Housing and Retirement: Exploring Why Americans’ Two Largest Sources of Wealth Are Disconnected, and Whether They Should Be**Saving and Investing Across a Lifetime: Do We Have the Building Blocks We Need to Build “Early Savings and Assets” for All Americans?**

Ray Boshara, Senior Advisor for the Institute for Economic Equity at the Federal Reserve Bank of St. Louis and Senior Fellow, Aspen Institute Financial Security Program

10:45 A.M. | BREAK**11:00 A.M. | THE NEXT BIG RETIREMENT SAVINGS INNOVATION SPACE: REENGINEERING THE ROLE OF THE EMPLOYER**

In every conversation about the future of the retirement savings system in America, we quickly get to the United States’ choice to put the employer in the role of fiduciary. In an employer-based system, with a wide diversity of employers making different decisions on offering or designing a plan, our goals around retirement security and equity for vulnerable employees aren’t going to be easy. So, do we have any alternatives to the yes/no employer-as-fiduciary binary? Are there any off ramps from our current system? Can we deconstruct the fiduciary role in ways that might help us get unstuck? In this discussion, leaders from diverse vantage points will discuss new ways to think about the right role for the employer in retirement savings.

FEATURED DISCUSSANTS

Chantel Sheaks, Vice President of Retirement Policy, US Chamber of Commerce
Additional speakers to be announced

11:45 A.M. | WEAVING THE THREADS TOGETHER: A CONCLUDING CONVERSATION

12:30 P.M. | CLOSING REMARKS

12:45 P.M. | FORUM ADJOURNS