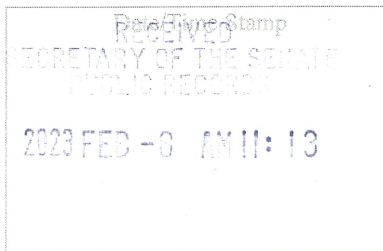


COVER SHEET FOR AMENDMENT OF POST-TRAVEL SUBMISSION



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: Josh Oppenheimer

Employing Office/Committee: HELP Committee

Travel Expenses Paid by (List all sources): The Aspen Institute, Inc (Financial Security Program)

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

Description/Title of Attached Forms: - Updated RE-2

- Privately Sponsored Travel Certification Form

- Appendix to the Privately Sponsored Travel Certification Form

- Itinerary/Agenda

Purpose of Amendment (describe the reason for amending original submission): Providing updated and final versions of the abovementioned documents.

2/2/23

(Date)

A handwritten signature in dark ink, appearing to read "Josh Oppenheimer".

(Signature of Traveler)

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

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.)

The Aspen Institute, Inc (Financial Security Program)

Private Sponsor(s) (list all):

October 17-19, 2022

Travel date(s):

Name of accompanying family member (if any):

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	\$514 (\$257 per night)	\$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 final agenda (attached).

2/2/23
(Date)

Josh 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.

2/8/23
(Date)


(Signature of Supervising Senator/Officer)

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 solely responsible for the development and execution of the convening; the Institute developed the agenda and organized the event, including the programming, production and speakers.

See attached appendix.

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.

See attached appendix.

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 education 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	\$514 (\$257 per night)	\$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 Washington, D.C. to facilitate easy travel for participants from the DC area and it also provides sufficient conference and hotel space to accommodate all participants.

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 Tides Inn has sufficient meeting and lodging space to accommodate the entire conference.

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 per diem rates exceed the per diem rates; however, 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:

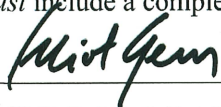
Transportation is provided via a shuttle bus from Washington, D.C. to the Tides Inn and from the Tides Inn to Washington, D.C.

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

Question 11. Agenda attached in a separate document.

Question 12. The Institute has received both general programmatic support and sponsorship support to support the Financial Security Program and the ALFRS from the following organizations: AARP; Prudential; BlackRock; Guideline; T Rowe Price. The funding was not earmarked for this specific trip and the organizations did not participate in organizing or conducting the Forum or this trip.

Question 13. The goal of the Forum is to accelerate convergence on critical dimensions of policy and marketplace innovation that will enable all workers in America to meaningfully participate in a retirement savings system that builds financial security. Given the scope of these issues and their profound impacts on American households' financial security, there is an urgent need to bring together a diverse group of powerful voices to chart the way forward. For its sixth consecutive year, the Aspen Leadership Forum on Retirement Savings will serve as the premier venue for this critical dialogue.

THE ASPEN LEADERSHIP FORUM ON RETIREMENT SAVINGS

OCTOBER 17-19, 2022

THE TIDES INN, IRVINGTON, VIRGINIA

MONDAY, OCTOBER 17, 2022**1:00 P.M. - 4:00 P.M. |** Senate staff depart DC Union Station at 1 pm**5:00 P.M. - 6:30 P.M. | Forum Opening Session and Introductions**

Debra Whitman, EVP and Chief Public Policy Officer, AARP will open the Forum and participants will have time to meet each other.

6:30 P.M. - 9:00 P.M. | Working Dinner

Seating for working lunches and dinners are arranged to expose participants to a diverse range of views and provide the opportunity for a meaningful exchange of ideas. Discussion will focus on the opportunities, challenges, and potential solutions to expand access to the retirement system.

TUESDAY, OCTOBER 18, 2022**8:00 A.M. - 9:00 P.M. | Working Breakfast in Lounge in Chesapeake Restaurant****9:00 A.M. - 10:15 P.M. | Did the Past Two Years Change the Future? What the Pandemic Revealed – and Changed – About Households, Their Money, and Our Shared Future***Featured Discussants:*

- Martha Deevy, Associate Director and Senior Research Scholar, Stanford Center on Longevity
- David Derryck, CEO of BuyBlack.org and Entrepreneur-in-Residence, Aspen Institute Financial Security Program
- Matthew Eckel, Director of Policy and Research, Young Invincibles
- Moderator: Joanna Smith-Ramani

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?

10:15 A.M. - 10:30 A.M. | Break

10:30 A.M. - 12:15 P.M. | Performance Evaluation: Are We Making Progress Toward a More Inclusive and Effective Retirement Savings System?

Featured Discussants:

- Taha Choukhmane, Assistant Professor of Finance, MIT
- Michael Davis, T. Rowe Price
- Brant Wong, Managing Director, JPMorgan Asset Management
- Kim Olson, Retirement Savings, Pew
- Moderator: Karen Andres, Project Director of the Retirement Savings Initiative, Aspen Financial Security Program

In the six years since the Aspen Leadership Forum on Retirement Savings began, five 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, solutions for decumulation, and an intentional focus on what it will take to create equitable savings outcomes in the defined contribution system. In this session, committed leaders from across the field of inclusive retirement savings will reflect on the progress made so far, what lies ahead to advance these priorities – and what else we must add to the list as we design for a different future.

12:15 P.M. - 1:00 P.M. | Working Lunch

Seating for working lunches and dinners are arranged to expose participants to a diverse range of views and provide the opportunity for a meaningful exchange of ideas. Discussion will focus on the opportunities, challenges, and potential solutions to expand access to the retirement system.

1:00 P.M. - 2:00 P.M. | Developing Four Year Action Plans on Key Priorities

Breakouts focused on the design and development of a strategic plan to achieve impact in the next four years.

Developing Emergency Savings Tools

Featured Discussants:

- Josh Oppenheimer, Senate Committee on Health, Education, Labor and Pensions (invited)
- Will Sandbrook, NEST Insight
- Sid Pailla, Sunny Day Fund
- Tim Flacke, Commonwealth
- Rachel Snyderman, BPC
- Moderator: Jason Ewas, Aspen FSP

2:00 P.M. - 4:00 P.M. | Networking and Relationship Building

4:00 P.M. - 4:45 P.M. | Policymakers in Conversation: The Honorable Kathleen Kennedy Townsend and Wisconsin Treasurer Sarah Godlewski on Inclusive, Lifelong Saving and Investing

Featured Discussants:

- The Honorable Kathleen Kennedy Townsend, Labor Secretary Marty Walsh's Special Assistant on Retirement Policy
- The Honorable Sarah Godlewski, Treasurer, State of Wisconsin
- Moderator: Ida Rademacher, Executive Director, Aspen Financial Security Program

Retirement savings are a tricky thing. In the aggregate, thanks to the one-two punch of paycheck deduction and low-cost access to powerful rates of return in the capital markets, retirement savings now represent the second largest source of household wealth in the United States. But at the household level, people in America consistently report that saving for retirement is a top source of stress. In a discussion grounded on what they have heard directly from workers around the country, Kathleen Kennedy Townsend and Sarah Godlewski will reflect on how they square the incredible wealth-building opportunity of the defined contribution system with the median household experience of retirement saving, their own vision of how we can make inclusive saving and investing a national priority, and their specific prescriptions for progress at both the state and the federal level.

4:45 P.M. - 5:30 P.M. | Balancing Cash Flow Needs with Balance Preservation Needs: A Person-Centered Dialogue About Guaranteed Retirement Income

Featured Discussants:

- Dylan Tyson, President of Prudential Retirement Strategies, Prudential
- Brnic Van Wyk, Head of Asset Liability Management, Australian Retirement Trust
- Er Yen Peh, Central Provident Fund, Singapore
- Moderator: Anne Lester, Speaker, Author, Annelester.com

Defined contribution systems around the world are experimenting with the "decumulation" phase of retirement savings in different ways and exploring how households experience the combination of "pillar 2" savings systems and "pillar 1" systems like Social Security. Some, like the United States, are at the beginning of scale pilots to turn accumulated balances into regular paychecks for retirees. Others, like Australia and Singapore, are already operational. In this discussion, our featured discussants will step back to share what we have learned, and what we don't yet know, about not just the "how" of turning savings into a paycheck, but the "why" of guaranteed income, from the perspective of savers in these systems.

5:30 P.M. - 6:00 P.M. | Break

6:30 P.M. - 8:00 P.M. | Working Dinner

Seating is arranged to expose participants to a diverse range of views and provide the opportunity for a meaningful exchange of ideas. Discussion will focus on the opportunities, challenges, and potential solutions to expand access to the retirement system.

WEDNESDAY, OCTOBER 19, 2022

7:30 A.M. - 8:30 A.M. | Working Breakfast in Lounge in Chesapeake Restaurant**8:30 A.M. - 9:15 A.M. | Final Day Reflections and Open Discussion**

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

9:15 A.M. - 10:45 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.

- Saving and Investing Across a Lifetime: Do We Have the Building Blocks We Need to Build “Early Savings and Assets” for All Americans?
 - Aron Szapiro, Morningstar
 - Julie Peachey, Deputy State Treasurer for Consumer Programs, PA Treasury
 - Ray Boshara, Aspen FSP
 - Melissa Sanchez, Senator Cory Booker’s Office (invited)
 - Moderator: Jason Ewas, Aspen FSP

10:45 A.M. - 11:00 A.M. | Break**11:00 A.M. - 11:45 A.M. | The Next Big Retirement Savings Innovations Space: Reengineering the Role of the Employer***Featured Discussants:*

- Chantel Sheaks, Vice President of Retirement Policy, US Chamber of Commerce
- Jodan Ledford, CEO, SmartUSA
- Patrice Willoughby, NAACP

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.

11:45 A.M. - 12:15 P.M. | Weaving the Threads Together: A Concluding Conversation

Karen Andres and Kara Watkins from Aspen FSP will facilitate a closing conversation, connecting the discussions of the previous days into preliminary takeaways and next steps.

12:15 P.M. - 12:30 P.M. | Closing Remarks

Aspen FSP staff will provide closing remarks and wrap-up.

12:30 P.M. | Forum Adjourns

1:00 P.M. - 4:00 P.M. | Bus travels from Tides Inn to Washington, D.C.