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U.S. House of Representatives  
Committee on Ethics

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES

MEMBER / OFFICER POST-TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from a private source for travel taken in connection with a Member or officer's official duties. This form does not eliminate the need to report privately-funded travel on the Member or officer's annual Financial Disclosure Statement. In accordance with House Rule 25, clause 5, you must complete this form and file it with the Clerk of the House, 135 Cannon House Office Building, within 15 days after travel is completed. Please do not file this form with the Committee on Ethics.

NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001.

1. Name of Traveler: Mike Thompson
2. a. Name of accompanying relative: Janet Thompson *or* None   
 b. Relationship to Traveler:  Spouse  Child  Other (specify): \_\_\_\_\_
3. a. Dates of departure and return: Departure: 04/08/17 Return: 04/15/17  
 b. Dates at personal expense: \_\_\_\_\_ *or* None
4. Departure city: San Francisco, CA Destination: South Korea/Japan Return city: San Francisco, CA
5. Sponsor(s) (who paid for the trip): The Aspen Institute, Inc. (Congressional Program)
6. Describe meetings and events attended (attach additional pages if necessary): \_\_\_\_\_  
See attached Itinerary with listed meetings and events.
7. Attached to this form are EACH of the following (*signify that each item is attached by checking the corresponding box*):
  - a.  a completed Sponsor Post-Travel Disclosure Form;
  - b.  the Primary Trip Sponsor Form completed by the trip sponsor prior to the trip, including all attachments and Grantmaking or Non-Grantmaking Sponsor Forms;
  - c.  page 2 of the completed Traveler Form submitted by the Member or officer; *and*
  - d.  the letter from the Committee on Ethics approving my participation on this trip.
8. a. I represent that I participated in each of the activities reflected in the sponsor's agenda. (*Signify that statement is true by checking box*):   
 b. If not, explain: \_\_\_\_\_

I certify that the information contained in this form is true, complete, and correct to the best of my knowledge. I have determined that all of the expenses on the attached Sponsor Post-Travel Disclosure Form were necessary and that the travel was in connection with my duties as a Member or officer of the U.S. House of Representatives and would not create the appearance that I am using public office for private gain.

SIGNATURE OF MEMBER: Mike Thompson

DATE: 4/20/17

**U.S. House of Representatives  
Committee on Ethics**

**SPONSOR POST-TRAVEL DISCLOSURE FORM**

This form must be completed by an officer of any organization that served as the primary trip sponsor in providing travel expenses or reimbursement for travel expenses to House Members, officers, or employees under House Rule 25, clause 5. ***A completed copy of the form must be provided to each House Member, officer, or employee who participated on the trip within 10 days of their return.*** You must answer all questions, and check all boxes, on this form for your submission to comply with House rules and the Committee's travel regulations. Failure to comply with this requirement may result in the denial of future requests to sponsor trips and/or subject the current traveler to disciplinary action or a requirement to repay the trip expenses.

**NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001.**

1. Sponsor(s) (who paid for the trip): The Aspen Institute, Inc. (Congressional Program)
2. Travel Destination(s): Tokyo, Japan and Seoul, South Korea
3. Date of Departure: April 8, 2017 Date of Return: April 15, 2017
4. Name(s) of Traveler(s): Rep. Mike Thompson and wife, Janet Thompson  
(NOTE: You may list more than one traveler on a form only if all information is identical for each person listed.)
5. **Actual amount** of expenses paid on behalf of, or reimbursed to, each individual named in response to Question 4:

	Total Transportation Expenses	Total Lodging Expenses	Total Meal Expenses	Other Expenses (dollar amount per item and description)
Traveler	<b>\$7,715</b>	\$1,464	\$860	\$624 - meeting room rental
Accompanying Relative	<b>\$7,715</b>	-0-	\$860	\$624 - meeting room rental

6. All expenses connected to the trip were for actual costs incurred and not a *per diem* or lump sum payment. (Signify statement is true by checking box):

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

Signature: \_\_\_\_\_

Name: Dan Glickman

Title: VP-Aspen Institute; Executive Director, Congressional Program

Organization: The Aspen Institute, Inc.

**I am an officer of the above-named organization (signify statement is true by checking box):**

Address: 1 Dupont Circle, NW, Washington, DC 20036

Telephone number: 202-736-5859 (Lisa Jones)

Email Address: lisa.jones@aspeninstitute.org

*Committee staff may contact the above-named individual if additional information is required.*

If you have questions regarding your completion of this form, please contact the Committee on Ethics at (202) 225-7103.

U.S. House of Representatives  
Committee on Ethics

TRAVELER FORM

This form should be completed by House Members, officers, or employees seeking Committee approval of privately-sponsored travel or reimbursement for travel under House Rule 25, clause 5. The completed form should be submitted directly to the Committee by each invited House Member, officer, or employee, together with the completed and signed trip sponsor form(s) and any attachments. A copy of this form, minus this initial page, will be made available for public inspection. *Form (and any attachments) may be faxed to the Committee at (202) 225-7392, sent or delivered to the Committee at 1015 Longworth, or e-mailed to [travel.requests@mail.house.gov](mailto:travel.requests@mail.house.gov).*

**YOUR COMPLETED REQUEST MUST BE SUBMITTED TO THE COMMITTEE NO LESS THAN 30 DAYS BEFORE YOUR PROPOSED DEPARTURE DATE.** Absent exceptional circumstances, permission will not be granted for requests received less than 30 days before the trip commences. You must receive explicit approval from the Committee before you depart on this trip.

Name of Traveler: Mike Thompson

**NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001.**

I certify that the information contained on both pages of this form is true, complete, and correct to the best of my knowledge.

Signature: Mike Thompson

Name of signatory (if other than traveler): \_\_\_\_\_

For staff, name of employing Member or committee: \_\_\_\_\_

Office address: 231 Cannon HOB

Telephone number: 202-225-3311

Email address of contact person: blair.mallin@mail.house.gov

- Check this box if the sponsoring entity is a media outlet, the purpose of the trip is to make a media appearance sponsored by that entity, and these forms are being submitted to the Committee less than 30 days before the trip departure date.

**NOTE: You must complete all of the contact information fields above, as Committee staff may need to contact you if additional information is required.**

**KEEP A COPY OF THIS FORM.** Page 2 (but not this page) must be submitted to the Clerk as part of the post-travel disclosure required by House Rule 25. Travel Regulation § 404(d) also requires you to keep a copy of all request forms and supporting paperwork for three subsequent Congresses from the date of travel.

If there are any questions regarding this form please contact the Committee:

Committee on Ethics  
1015 Longworth House Office Building  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (fax)  
Travel email: [travel.requests@mail.house.gov](mailto:travel.requests@mail.house.gov)

RECEIVED  
17 MAR -9 AM 11:56  
COMMITTEE ON ETHICS

U.S. House of Representatives  
Committee on Ethics

TRAVELER FORM

1. Name of Traveler: Rep. Mike Thompson
2. Sponsor(s) (who will be paying for the trip): The Aspen Institute, Inc. (Congressional Program)
3. Travel destination(s): Tokyo, Japan and Seoul, South Korea
4. a. Date of departure April 8, 2017 Date of return: April 15, 2017  
b. Will you be extending the trip at your personal expense?  Yes  No  
If yes, dates at personal expense: \_\_\_\_\_
5. a. Will you be accompanied by a relative at the sponsor's expense?  Yes  No  
b. If yes:  
(1) Name of accompanying relative: Janet Thompson  
(2) Relationship to traveler:  Spouse  Child  Other (specify): \_\_\_\_\_  
(3) Accompanying relative is at least 18 years of age:  Yes  No
6. a. Did the trip sponsor answer "yes" to Question 9(d) on the Primary Trip Sponsor Form (i.e., travel is sponsored by an entity that employs a registered federal lobbyist or foreign agent and you are requesting lodging for two nights)?  Yes  No  
b. If yes, explain why the second night of lodging is warranted:  
\_\_\_\_\_  
\_\_\_\_\_
7. Primary Trip Sponsor Form is attached, including agenda, invitee list, and any other attachments and contributing sponsor forms:  Yes  No  
NOTE: The agenda should show the traveler's individual schedule, including departure and arrival times and identify the specific events in which the traveler will be participating.
8. Explain why participation in the trip is connected to the traveler's individual official or representational duties. Staff should include their job title and how the activities on the itinerary relate to their duties.  
As a Member of Congress on the Ways and Means Committee, this trip will further inform and educate me on international trade issues, as it relates to Asia, allowing me to better serve my constituents.
9. Is the traveler aware of any registered federal lobbyists or foreign agents involved in planning, organizing, requesting, and/or arranging the trip?  Yes  No

10. **FOR STAFF TRAVELERS:**

**TO BE COMPLETED BY YOUR EMPLOYING MEMBER:**

**ADVANCED AUTHORIZATION OF EMPLOYEE TRAVEL**

I hereby authorize the individual named above, an employee of the U.S. House of Representatives who works under my direct supervision, to accept expenses for the trip described in this request. I have determined that the above-described travel is in connection with my employee's official duties and that acceptance of these expenses will not create the appearance that the employee is using public office for private gain.

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Employing Member

U.S. House of Representatives  
Committee on Ethics

PRIMARY TRIP SPONSOR FORM

This form should be completed by private entities offering to provide travel or reimbursement for travel to House Members, officers, or employees under House Rule 25, clause 5. A completed copy of the form (and any attachments) should be provided to each invited House Member, officer, or employee, who will then forward it to the Committee together with a Traveler Form at least 30 days before the start date of the trip. The trip sponsor should NOT submit the form directly to the Committee. The Committee Web site (ethics.house.gov) provides detailed instructions for filling out the form.

**NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001. Failure to comply with the Committee's Travel Regulations may also lead to the denial of permission to sponsor future trips.**

1. Sponsor (who will be paying for the trip): \_\_\_\_\_  
The Aspen Institute, Inc. (Congressional-Program)
2. I represent that the trip will not be financed (in whole or in part) by a registered federal lobbyist or foreign agent (signify that the statement is true by checking box):
3. Check only one: I represent that:
  - a. the primary trip sponsor has not accepted from any other source funds intended directly or indirectly to finance any aspect of the trip  *or*
  - b. the trip is arranged without regard to congressional participation and the primary trip sponsor has accepted funds only from entities that will receive a tangible benefit in exchange for those funds  *or*.
  - c. the primary trip sponsor has accepted funds from other source(s) intended directly or indirectly to finance all or part of this trip and has enclosed disclosure forms from each of those entities.   
If "c" is checked, list the names of the additional sponsors: \_\_\_\_\_  
Sasakawa Peace Foundation, USA; Luce; Democracy Fund; MacArthur; Rockefeller Brothers Fun
4. Provide names and titles of ALL House Members and employees you are inviting. For each House invitee, provide an explanation of why the individual was invited (include additional pages if necessary):  
see attached list
5. Is travel being offered to an accompanying relative of the House invitee(s)?  Yes  No
6. Date of departure: April 8, 2017 Date of return: April 15, 2017
7. a. City of departure: Washington, DC or district  
b. Destination(s): Tokyo, Japan and Seoul, South Korea  
c. City of return: Washington, DC or district
8. I represent that (check one of the following):
  - a. The sponsor of the trip is an institution of higher education within the meaning of section 101 of the Higher Education Act of 1965:  *or*
  - b. The sponsor of the trip does not retain or employ a registered federal lobbyist or foreign agent:  *or*
  - c. The sponsor employs or retains a registered federal lobbyist or foreign agent, but the trip is for attendance at a one-day event *and* lobbyist/foreign agent involvement in planning, organizing, requesting, or arranging the trip was *de minimis* under the Committee's travel regulations.
9. Check one of the following:
  - a. I checked 8(a) or (b) above:
  - b. I checked 8(c) above but am not offering any lodging:
  - c. I checked 8(c) above and am offering lodging and meals for one night:  *or*
  - d. I checked 8(c) above and am offering lodging and meals for two nights:   
If "d" is checked, explain why the second night of lodging is warranted: \_\_\_\_\_

10. Attached is a detailed agenda of the activities the House invitees will be participating in during the travel (*i.e.*, an hourly description of planned activities for trip invitees) (*indicate agenda is attached by checking box*):
11. Check one:
- a. I represent that a registered federal lobbyist or foreign agent will not accompany House Members or employees on any segment of the trip (*signify that the statement is true by checking box*):  *or*
- b. N/A – trip sponsor is a U.S. institution of higher education.
12. For each sponsor required to submit a sponsor form, describe the sponsor's interest in the subject matter of the trip and its role in organizing and/or conducting the trip:
- The Aspen Institute's Congressional Program (AICP) provides nonpartisan educational forums for members of Congress on public policy issues. AICP has organized and will conduct the conference and has selected and invited the attendees. The Foundations listed in question 3C provide the grants to AICP and are interested in congressional education regarding "America's Vital Interests in Asia."
13. Answer parts a and b. Answer part c if necessary.
- a. Mode of travel: Air  Rail  Bus  Car  Other  (Specify: \_\_\_\_\_)
- b. Class of travel: Coach  Business  First  Charter  Other  (Specify: \_\_\_\_\_)
- c. If travel will be first class or by chartered or private aircraft, explain why such travel is warranted:
- \_\_\_\_\_
14. I represent that the expenditures related to local area travel during the trip will be unrelated to personal or recreational activities of the invitee(s). (*signify that the statement is true by checking box*):
15. I represent that either (*check one of the following*):
- a. The trip involves an event that is arranged or organized *without regard* to congressional participation and that meals provided to congressional participants are similar to those provided to or purchased by other event attendees:  *or*
- b. The trip involves events that are arranged specifically *with regard* to congressional participation:
- If "b" is checked:
- 1) Detail the cost per day of meals (approximate cost may be provided): \_\_\_\_\_  
\$200 in Tokyo; \$130 in Seoul
- 2) Provide reason for selecting the location of the event or trip: \_\_\_\_\_  
Japan and Korea are a focus of interest for this conference and these locations facilitate inclusion of Japanese, Korean and Chinese, as well as American scholars and provides the opportunity for relevant site visits pertinent to US policy challenges: Yokosuka Naval base and the DMZ
16. Name, nightly cost, and reasons for selecting each hotel or other lodging facility:
- Hotel name: Grand Hyatt Hotel City: Tokyo, Japan Cost per night: \$260  
Reason(s) for selecting: Hotel has required technology and meeting space with security
- Hotel name: Westin Hotel City: Seoul, Korea Cost per night: \$228  
Reason(s) for selecting: Hotel has required technology and meeting space with security
- Hotel name: \_\_\_\_\_ City: \_\_\_\_\_ Cost per night: \_\_\_\_\_  
Reason(s) for selecting: \_\_\_\_\_

17. I represent that all expenses connected to the trip will be for actual costs incurred and not a per diem or lump sum payment. (signify that the statement is true by checking box):

18. TOTAL EXPENSES FOR EACH PARTICIPANT:

<input type="checkbox"/> actual amounts <input checked="" type="checkbox"/> good faith estimates	Total Transportation Expenses per Participant	Total Lodging Expenses per Participant	Total Meal Expenses per Participant
For each Member, Officer, or employee	\$8,500	\$1,464	\$860
For each accompanying relative	\$8,500	-0-	\$860

	Other Expenses (dollar amount per item)	Identify Specific Nature of "Other" Expenses (e.g., taxi, parking, registration fee, etc.)
For each Member, Officer, or employee	\$624	meeting room rental
For each accompanying relative	\$624	meeting room rental

**NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001.**

19. Check one:

- a. I certify that I am an officer of the organization listed below.  *or*  
 b. N/A – sponsor is an individual or a U.S. institution of higher education.

20. I certify that I am not a registered federal lobbyist or foreign agent for any sponsor of this trip.

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

Signature: 

Name: Dan Glickman

Title: Vice President, Aspen Institute; Executive Director, Congressional Program

Organization: The Aspen Institute, Inc.

Address: 1 Dupont Circle, NW, Washington, DC 20036

Telephone number: 202-736-5859 (Lisa Jones)

Email address: lisa.jones@aspeninst.org

If there are any questions regarding this form please contact the Committee at the following address:

Committee on Ethics  
 U.S. House of Representatives  
 1015 Longworth House Office Building  
 Washington, DC 20515  
 (202) 225-7103 (phone)  
 (202) 225-7392 (general fax)

U.S. House of Representatives  
Committee on Ethics

GRANTMAKING TRIP SPONSOR FORM

This form should be completed by a public charity or private foundation (both as defined under section 501(c)(3) of the Internal Revenue Code) that provides a grant of funds to another entity to underwrite, in whole or in part, a trip or an event, meal, or activity that will occur during a trip, or a necessary expense that will be incurred during a trip, with express or implicit knowledge or understanding that one or more House Members or employees may participate in or attend that trip or event, or otherwise may be beneficiaries of the gift or donation. Provide a copy of your completed form to the primary sponsor of the trip.

**NOTE:** Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001. Failure to comply with the Committee's Travel Regulations may also lead to the denial of permission to sponsor future trips.

1. I certify that (name of your organization): Sasakawa Peace Foundation USA  
has been designated a § 501(c)(3) nonprofit charitable organization by the Internal Revenue Service.  
 Yes  No

2. Name of Primary Trip Sponsor: Aspen Institute Congressional Program

3. I certify that my organization (complete a or b):

a.  Has provided a grant, gift, or donation to the above-named Primary Trip Sponsor and conducts an audit or review of its grant, gift, or donation to ensure that the funds are spent in accordance with the terms of its grant, gift, or donation. *or*

b.  Has had a direct role in the organizing, planning, or conducting of a trip to

(destination) \_\_\_\_\_ on (date) \_\_\_\_\_ that is being organized or arranged by the above-named Primary Trip Sponsor.

4. Check one:

a.  My organization does not employ or retain a registered federal lobbyist or foreign agent *or*

b.  My organization employs a registered federal lobbyist or foreign agent, but their involvement in planning, organizing, or arranging the trip was *de minimis* under the travel regulations.

5. I certify that I am not a registered federal lobbyist or foreign agent for any sponsor of this trip.

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

Signature: 

Name: Daniel Bob

Title: Senior Fellow and Senior Director for U.S.-Japan Programs

Organization: Sasakawa Peace Foundation USA

Address: 1819 L Street, NW, Suite 300, Washington, DC 20036-3855

Telephone number: 202-296-6694

Email: dbob@spfusa.org

If there are any questions regarding this form please contact the Committee at the following address

Committee on Ethics  
U.S. House of Representatives  
1915 Longworth House Office Building  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (general fax)



U.S. House of Representatives  
Committee on Ethics

GRANTMAKING TRIP SPONSOR FORM

This form should be completed by a public charity or private foundation (both as defined under section 501(c)(3) of the Internal Revenue Code) that provides a grant of funds to another entity to underwrite, in whole or in part, a trip or an event, meal, or activity that will occur during a trip, or a necessary expense that will be incurred during a trip, with express or implicit knowledge or understanding that one or more House Members or employees may participate in or attend that trip or event, or otherwise may be beneficiaries of the gift or donation. Provide a copy of your completed form to the primary sponsor of the trip.

**NOTE:** Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001. Failure to comply with the Committee's Travel Regulations may also lead to the denial of permission to sponsor future trips.

1. I certify that (name of your organization): The Henry Luce Foundation  
has been designated a § 501(c)(3) nonprofit charitable organization by the Internal Revenue Service.  
 Yes  No
2. Name of Primary Trip Sponsor: Aspen Institute Congressional Program
3. I certify that my organization (complete a or b):  
a.  Has provided a grant, gift, or donation to the above-named Primary Trip Sponsor and conducts an audit or review of its grant, gift, or donation to ensure that the funds are spent in accordance with the terms of its grant, gift, or donation. or  
b.  Has had a direct role in the organizing, planning, or conducting of a trip to  
(destination) \_\_\_\_\_ on (date) \_\_\_\_\_ that is  
being organized or arranged by the above-named Primary Trip Sponsor.
4. Check one:  
a.  My organization does not employ or retain a registered federal lobbyist or foreign agent or  
b.  My organization employs a registered federal lobbyist or foreign agent, but their involvement in planning, organizing, or arranging the trip was *de minimis* under the travel regulations.
5. I certify that I am not a registered federal lobbyist or foreign agent for any sponsor of this trip.
6. I certify by my signature that the information contained in this form is true, complete, and correct to the best of my knowledge.

Signature: Toby Alice Volkman

Name: Toby Alice Volkman

Title: Secretary + Director of Policy Initiatives

Organization: The Henry Luce Foundation

Address: 51 Madison Ave., New York, NY 10010

Telephone number: 212-489-7700

Email: tvolkman@hluce.org

If there are any questions regarding this form please contact the Committee at the following address:

Committee on Ethics  
U.S. House of Representatives  
1015 Longworth House Office Building  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (general fax)

U.S. House of Representatives  
Committee on Ethics

GRANTMAKING TRIP SPONSOR FORM

This form should be completed by a public charity or private foundation (both as defined under section 501(c)(3) of the Internal Revenue Code) that provides a grant of funds to another entity to underwrite, in whole or in part, a trip or an event, meal, or activity that will occur during a trip, or a necessary expense that will be incurred during a trip, with express or implicit knowledge or understanding that one or more House Members or employees may participate in or attend that trip or event, or otherwise may be beneficiaries of the gift or donation. Provide a copy of your completed form to the primary sponsor of the trip.

**NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001. Failure to comply with the Committee's Travel Regulations may also lead to the denial of permission to sponsor future trips.**

1. I certify that (name of your organization): Democracy Fund  
has been designated a § 501(c)(3) nonprofit charitable organization by the Internal Revenue Service.  
 Yes  No
2. Name of Primary Trip Sponsor: Aspen Institute
3. I certify that my organization (complete a or b):  
a.  Has provided a grant, gift, or donation to the above-named Primary Trip Sponsor and conducts an audit or review of its grant, gift, or donation to ensure that the funds are spent in accordance with the terms of its grant, gift, or donation. *or*  
b.  Has had a direct role in the organizing, planning, or conducting of a trip to  
(destination) \_\_\_\_\_ on (date) \_\_\_\_\_ that is  
being organized or arranged by the above-named Primary Trip Sponsor.
4. Check one:  
a.  My organization does not employ or retain a registered federal lobbyist or foreign agent *or*  
b.  My organization employs a registered federal lobbyist or foreign agent, but their involvement in planning, organizing, or arranging the trip was *de minimis* under the travel regulations.
5. I certify that I am not a registered federal lobbyist or foreign agent for any sponsor of this trip.
6. I certify by my signature that the information contained in this form is true, complete, and correct to the best of my knowledge.

Signature: \_\_\_\_\_

Name: Joseph Goldman

Title: President

Organization: Democracy Fund

Address: 1333 New Hampshire Ave, Suite 730, Washington DC 20036

Telephone number: 202-465-8525 Email: jgoldman@democracyfund.org

If there are any questions regarding this form please contact the Committee at the following address:

Committee on Ethics  
U.S. House of Representatives  
1015 Longworth House Office Building  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (general fax)

U.S. House of Representatives  
Committee on Ethics

GRANTMAKING TRIP SPONSOR FORM

This form should be completed by a public charity or private foundation (both as defined under section 501(c)(3) of the Internal Revenue Code) that provides a grant of funds to another entity to underwrite, in whole or in part, a trip or an event, meal, or activity that will occur during a trip, or a necessary expense that will be incurred during a trip, with express or implicit knowledge or understanding that one or more House Members or employees may participate in or attend that trip or event, or otherwise may be beneficiaries of the gift or donation. Provide a copy of your completed form to the primary sponsor of the trip.

**NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001. Failure to comply with the Committee's Travel Regulations may also lead to the denial of permission to sponsor future trips.**

1. I certify that (name of your organization): The MacArthur Foundation  
has been designated a § 501(c)(3) nonprofit charitable organization by the Internal Revenue Service.  
 Yes  No
2. Name of Primary Trip Sponsor: Aspen Institute Congressional Program
3. I certify that my organization (complete a or b):  
a.  Has provided a grant, gift, or donation to the above-named Primary Trip Sponsor and conducts an audit or review of its grant, gift, or donation to ensure that the funds are spent in accordance with the terms of its grant, gift, or donation. or  
b.  Has had a direct role in the organizing, planning, or conducting of a trip to  
(destination) \_\_\_\_\_ on (date) \_\_\_\_\_ that is  
being organized or arranged by the above-named Primary Trip Sponsor.
4. Check one:  
a.  My organization does not employ or retain a registered federal lobbyist or foreign agent or  
b.  My organization employs a registered federal lobbyist or foreign agent, but their involvement in planning, organizing, or arranging the trip was *de minimis* under the travel regulations.
5. I certify that I am not a registered federal lobbyist or foreign agent for any sponsor of this trip.
6. I certify by my signature that the information contained in this form is true, complete, and correct to the best of my knowledge.

Signature: \_\_\_\_\_

Name: Joshua J. Mintz Title: Vice President & General Counsel

Organization: The John D. and Catherine T. MacArthur Foundation

Address: 140 S. Dearborn St.; Chicago, IL 60603

Telephone number: 312 920 6250 Email: jmintz@macfound.org

If there are any questions regarding this form please contact the Committee at the following address:

Committee on Ethics  
U.S. House of Representatives  
1015 Longworth House Office Building  
Washington, DC 20515  
(202) 225-7103 (phone)  
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GRANTMAKING TRIP SPONSOR FORM

This form should be completed by a public charity or private foundation (both as defined under section 501(c)(3) of the Internal Revenue Code) that provides a grant of funds to another entity to underwrite, in whole or in part, a trip or an event, meal, or activity that will occur during a trip, or a necessary expense that will be incurred during a trip, with express or implicit knowledge or understanding that one or more House Members or employees may participate in or attend that trip or event, or otherwise may be beneficiaries of the gift or donation. Provide a copy of your completed form to the primary sponsor of the trip.

**NOTE: Willful or knowing misrepresentations on this form may be subject to criminal prosecution pursuant to 18 U.S.C. § 1001. Failure to comply with the Committee's Travel Regulations may also lead to the denial of permission to sponsor future trips.**

1. I certify that (name of your organization): Rockefeller Brothers Fund  
has been designated a § 501(c)(3) nonprofit charitable organization by the Internal Revenue Service.  
 Yes  No
2. Name of Primary Trip Sponsor: Aspen Institute Congressional Program
3. I certify that my organization (complete a or b):
  - a.  Has provided a grant, gift, or donation to the above-named Primary Trip Sponsor and conducts an audit or review of its grant, gift, or donation to ensure that the funds are spent in accordance with the terms of its grant, gift, or donation. or
  - b.  Has had a direct role in the organizing, planning, or conducting of a trip to  
(destination) \_\_\_\_\_ on (date) \_\_\_\_\_ that is  
being organized or arranged by the above-named Primary Trip Sponsor.
4. Check one:
  - a.  My organization does not employ or retain a registered federal lobbyist or foreign agent or
  - b.  My organization employs a registered federal lobbyist or foreign agent, but their involvement in planning, organizing, or arranging the trip was *de minimis* under the travel regulations.
5. I certify that I am not a registered federal lobbyist or foreign agent for any sponsor of this trip.
6. I certify by my signature that the information contained in this form is true, complete, and correct to the best of my knowledge.

Signature: 

Name: STEPHEN HEINTZ Title: PRESIDENT

Organization: Rockefeller Brothers Fund

Address: 475 Riverside Drive, New York, NY 10115

Telephone number: 212-812-4389 Email: sheintz@rbf.org

If there are any questions regarding this form please contact the Committee at the following address:

Committee on Ethics  
U.S. House of Representatives  
1015 Longworth House Office Building  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (general fax)

**Answer to Question 4 – House Ethics Primary Trip Sponsor Form  
Aspen Institute – Japan & Korea Conference – 2017**

*4. Provide names and titles of all House members you are inviting. For each House invitee, provide an explanation of why the individual was invited.*

The invitees reflect a bipartisan delegation representing different geographical areas of the country, having various committee assignments with relevance to U.S. policy issues dealing with trade, security and resource interests in the Pacific. These Members have an interest in deeper analysis with the benefit of American and Asian scholars.

Rep. Nanette Barragàn, CA, Homeland Security Committee  
Rep. Julia Brownley, CA, Transportation & Infrastructure Committee  
Rep. Bradley Byrne, AL, Armed Services Committee  
Rep. Jason Chaffetz, UT, Chair, Oversight and Government Reform Committee  
Rep. Steve Cohen, TN, Judiciary Committee  
Rep. Chris Collins, NY, Energy & Commerce Committee  
Rep. Gerald Connolly, VA, Foreign Affairs Committee  
Rep. Suzan DelBene, WA, Budget Committee  
Rep. Lloyd Doggett, TX, Ways & Means Committee  
Rep. Keith Ellison, MN, Financial Services Committee  
Rep. Anna Eshoo, CA, Energy & Commerce Committee  
Rep. Lois Frankel, FL, Foreign Affairs Committee  
Rep. John Garamendi, CA, Armed Services Committee  
Rep. Brian Higgins, NY, Ways & Means Committee  
Rep. Jared Huffman, CA, Natural Resources Committee  
Rep. Robin Kelly, IL, Foreign Affairs Committee  
Rep. Rick Larsen, WA, Armed Services Committee  
Rep. Zoe Lofgren, CA, Judiciary Committee  
Rep. Alan Lowenthal, CA, Foreign Affairs Committee  
Rep. Stephen Lynch, MA, Financial Services Committee  
Rep. Sean Patrick Maloney, NY, Transportation & Infrastructure Committee  
Rep. Greg Meeks, NY, Foreign Affairs Committee  
Rep. Jerrold Nadler, NY, Judiciary Committee  
Rep. Kathleen Rice, NY, Homeland Security Committee  
Rep. Terri Sewell, AL, Intelligence Committee  
Rep. Eric Swalwell, CA, Intelligence Committee  
Rep. Mike Thompson, CA, Ways & Means Committee

Susan W. Brooks, Indiana  
*Chairwoman*  
Theodore E. Deutch, Florida  
*Ranking Member*



Patrick Meehan, Pennsylvania  
Trey Gowdy, South Carolina  
Kenny Marchant, Texas  
Leonard Lance, New Jersey

Yvette D. Clarke, New York  
Jared Polis, Colorado  
Anthony Brown, Maryland  
Steve Cohen, Tennessee

ONE HUNDRED FIFTEENTH CONGRESS

## U.S. House of Representatives

COMMITTEE ON ETHICS

April 4, 2017

Thomas A. Rust  
*Staff Director and Chief Counsel*

Donna Herbert  
*Director of Administration*

Sheria A. Clarke  
*Counsel to the Chairwoman*

Daniel J. Taylor  
*Counsel to the Ranking Member*

1015 Longworth House Office Building  
Washington, D.C. 20515-6328  
Telephone: (202) 225-7103  
Facsimile: (202) 225-7392

The Honorable Michael Thompson  
Office of the Honorable Mike Thompson  
231 Cannon House Office Building  
Washington, DC 20515

Dear Colleague:

Pursuant to House Rule 25, clause 5(d)(2), the Committee on Ethics hereby approves your and your spouse's proposed trip to Japan and the Republic of Korea, scheduled for April 8 to 15, 2017, sponsored by the Aspen Institute, Inc., with financial support from the Sasakawa Peace Foundation USA, the Henry Luce Foundation, the Democracy Fund, the John D. and Catherine T. MacArthur Foundation, and the Rockefeller Brothers Fund.

You must complete a Member/Officer Post-Travel Disclosure Form and file it, together with a Sponsor Post-Travel Disclosure Form completed by the trip sponsor, with the Clerk of the House within 15 days after your return from travel. As part of that filing, you are also required to attach a copy of this letter and both the Traveler and Primary Trip Sponsor Forms (including attachments) you previously submitted to the Committee in seeking pre-approval for this trip. You must also report all travel expenses totaling more than \$390 from a single source on the "Travel" schedule of your annual Financial Disclosure Statement covering this calendar year. Finally, Travel Regulation § 404(d) also requires you to keep a copy of all request forms and supporting information provided to the Committee for three subsequent Congresses from the date of travel.

Because the trip may involve meetings with foreign government representatives, we note that House Members may accept, under the Foreign Gifts and Decorations Act (FGDA), gifts "of minimal value [currently \$390] tendered as a souvenir or mark of courtesy" by a foreign government. Any tangible gifts valued in excess of minimal value received from a foreign government must, within 60 days of acceptance, be disclosed on a Form for Disclosing Gifts from Foreign Governments filed with the Committee, and either turned over to the Clerk of the House, or, with the written approval of the Committee, retained for official use.

The Honorable Michael Thompson  
Page 2

If you have any further questions, please contact the Committee's Office of Advice and Education at extension 5-7103.



Susan W. Brooks  
Chairwoman

Sincerely,



Theodore E. Deutch  
Ranking Member

SWB/TED:wfs

# **America's Vital Interests in Asia: Trade, Security and Resource Interests in the Pacific**

THE ASPEN INSTITUTE CONGRESSIONAL PROGRAM

April 8-15, 2017

Tokyo, Japan and Seoul, South Korea (3 nights in each city)

## **AGENDA**

### **SATURDAY, April 8:**

Rep. Mike Thompson and wife Janet Thompson depart San Francisco @ 12:20 pm on All Nippon 007.

### **SUNDAY, April 9:**

Rep. Mike Thompson and wife Janet Thompson arrive Tokyo @ 3:20 pm

6:30-8:30 pm Working Dinner

Scholars and members of Congress will explore topics covered in the conference. Seating is arranged to expose participants to a diverse range of views and provide opportunity for a meaningful exchange of ideas. Scholars and lawmakers are rotated daily.

### **MONDAY, April 10:**

7:30-9:00 am Breakfast is available

8:00 am Breakfast Meeting for Conference Scholars

9:00 am **INTRODUCTION AND FRAMEWORK OF THE CONFERENCE**

*Dan Glickman, Executive Director, Aspen Institute Congressional Program*

9:15 am Roundtable Discussion

#### **THE CHANGING SECURITY CLIMATE IN EAST ASIA AND IMPLICATIONS FOR U.S. POLICY**

East Asia is the site of several territorial disputes that could become militarized at any time. China and Japan dispute control over a set of small, but strategically located islands in the East China Sea. The new U.S. Defense Secretary has reiterated longstanding U.S. policy that the U.S. defense obligations to Japan include these islands. In the Sea of Japan—what the Koreans refer to as the East Sea—two of the most valued U.S. allies, Japan and Korea, argue over sovereignty of a different island. China asserts its territorial claims in the South China Sea, threatening sovereignty of nearby nations. Japan's leaders have put forward a proposal to revise its constitution to recognize the existence of its formidable military establishment. The U.S. has a significant military presence in the region with 50,000 military personnel stationed in Japan (more than in any other foreign country) and 25,000 in Korea. The United States declared its "pivot" or rebalance



to the region under the previous administration, but some in the region—including U.S. allies—seek reassurance that Washington’s capabilities and commitments are reliable under the new administration.

- How does the dramatic increase in China’s defense budget affect its neighbors’ defense strategy and spending?
- Is it necessary for the United States to further adjust its force posture in the region, either expanding or contracting?
- What are the long term prospects for a continued U.S. military presence in South Korea, and its current basing posture in East Asia, including Okinawa?
- Is Washington doing enough to reassure its allies in East Asia?
- How can regional maritime security issues best be addressed?
- What is the nature of the changing relationship between China and Korea and between Japan and Russia and their relevance to the United States?
- How stable is China under the leadership of Xi Jinping, who has consolidated power yet depends on continued economic growth for legitimacy?
- How stable is North Korea under the leadership of Kim Jong-un, who has consolidated power by killing adversaries?
- What factor is the long-standing commitment of the U.S. to Taiwan?

**Akihiko Tanaka**, Professor of International Politics, University of Tokyo  
**Dennis Blair**, former U.S. Pacific Fleet Commander, former Director of National Intelligence  
**Shen Dingli**, Vice Dean, Institute of International Studies, Fudan University, Shanghai  
**Kim Sung-han**, former Vice Minister of Foreign Affairs for South Korea,  
Professor of International Relations, Korea University, Seoul

11:00 am Break

11:15 am Roundtable Discussion Continues

1:00-2:00 pm Working Luncheon  
Discussion continues between members of Congress and scholars on the challenges for the U.S. policy regarding security concerns in East Asia.

2:00-5:30 pm Educational Site Visit to Yokosuka U.S. Naval Base  
(American passport holders only)  
Yokosuka Naval Base comprises 568 acres and is located 43 miles south of Tokyo at the entrance of Tokyo Bay. It is the largest overseas U.S. naval installation in the world and is considered to be one of the most strategically important bases in the U.S. military. Yokosuka’s strategic location and support capabilities allow operating forces to be 17 days closer to locations in Asia than their counterparts based in the continental United States. It would take several times the number of rotationally-based ships in the United States to equal the same presence and crisis-response capability as the forward-deployed ships in Japan.

**Joseph Auccoin**, Vice Admiral, Commander, U.S. Navy Seventh Fleet

6:30-8:30 pm

Working Dinner

Scholars and members of Congress will explore topics covered in the conference. Seating is arranged to expose participants to a diverse range of views and provide opportunity for a meaningful exchange of ideas. Scholars and lawmakers are rotated daily.

**TUESDAY, April 11:**

7:30-9:00 am

Breakfast is available

9:00 am

Roundtable Discussion

**THE ECONOMIC DIMENSIONS OF U.S. ENGAGEMENT IN EAST ASIA:  
TRADE, INVESTMENT, GLOBAL FINANCIAL STABILITY, AND ENERGY  
IMPLICATIONS**

The United States is a major stakeholder in East Asia, the world's most dynamic economic region. In addition to the bilateral economic relationship of China and the United States, both are deeply integrated with the economies of Japan and South Korea, the world's third and eleventh largest economies. China, the United States, and South Korea are Japan's top trading partners, and China, the United States, and Japan are Korea's. This interdependent economic foundation can be a stabilizing force among countries with different political systems and foreign policy interests, but it is one that requires vigilant monitoring.

- What are the links between regional economic interdependence and security issues?
- What are the policy implications of the continued U.S. trade deficit with the region?
- What are the implications of the U.S. withdrawal from the Trans-Pacific Partnership?
- Does the region's increasing wealth carry commensurate global responsibilities?
- Will "Abe-nomics" succeed in Japan and what is its relevance to the U.S.?
- How should the United States and its allies respond to China's economic initiatives, such as the Asian Infrastructure and Investment Bank and the Regional Comprehensive Economic Partnership?
- How does China's economy affect its neighbors' prospects for growth?
- How would another regional financial crisis in Asia affect the United States?
- What are the connections of low birth rates and ageing societies to Japan, Korea and China's economic future?

**Taro Kono**, Member of the Japanese Diet

**Marcus Noland**, Executive Vice President, Peterson Institute of International Economics

**He Fan**, Executive Director, Research Institute of the Maritime Silk Road, Beijing

**Taeho Bark**, former Chairman, Korea International Trade Commission;

Professor, Seoul National University, Seoul

11:00 am

Break

- 11:15 am Roundtable Discussion Continues
- 12:30-2:00 pm Luncheon Discussion  
**U.S. ECONOMIC AND SECURITY CONCERNS REGARDING JAPAN**  
**Jason Hyland**, Chargé, U.S. Embassy to Japan
- 3:30-5:00 pm Meeting with Japan's Premier (members of Congress only)  
**Shinzo Abe**, Prime Minister of Japan
- 6:30-8:30 pm Working Dinner  
Scholars and members of Congress will explore topics covered in the conference. Seating is arranged to expose participants to a diverse range of views and provide opportunity for a meaningful exchange of ideas. Scholars and lawmakers are rotated daily. During this dinner we will be joined by a diverse group of Members of the Japanese Parliament.
- Members of the House of Representatives (the Lower House)  
**Shinichi Isa**, Komeito Party  
**Akihisa Nagashima**, Democratic Party  
**Yasuhide Nakayama**, Liberal Democratic Party  
**Keitaro Ohno**, Liberal Democratic Party  
**Yoshikazu Shimada**, Liberal Democratic Party  
**Keisuke Suzuki**, Liberal Democratic Party
- Members of the House of Councillors (the Upper House)  
**Kenzo Fujisue**, Democratic Party  
**Yukihisa Fujita**, Democratic Party  
**Hiroe Makiyama**, Democratic Party  
**Rui Matsukawa**, Liberal Democratic Party  
**Hirofumi Nakasone**, Liberal Democratic Party  
**Keizo Takemi**, Liberal Democratic Party

**WEDNESDAY, April 12:**

- 7:30-9:00 am Breakfast is available
- 8:00-9:00 am Breakfast Discussion  
**MYANMAR'S DEMOCRATIC TRANSITION**  
Myanmar has been going through the transition from autocratic to democratic rule. Participants will have the opportunity to hear a first-hand account of that transition from Japan's Envoy for National Reconciliation with Myanmar.

***Yohei Sasakawa***, Special Japanese Envoy for National Reconciliation with Myanmar

9:00 am

Roundtable Discussion

**GOVERNANCE CONCERNS FOR THE U.S.:  
A SURVEY OF JAPAN, KOREA, AND CHINA**

Japan and South Korea are each robust democracies with a free press, competitive political parties and an active civil society. Like all such political systems, they are constantly changing. New coalitions, new parties, and new generations of leaders bring new challenges to U.S. foreign policy. In Japan, for example, the opposition that took control in 2009 quickly tilted Japanese foreign policy in China's direction. Groups in civil society became very agitated about issues such as North Korean abductions, constitutional revision, and nuclear power. Likewise, in South Korea, its President, Ms. Park, began to steer South Korean policy toward Beijing and has faced stiff resistance to efforts to improve relations with Japan. With Ms. Park now facing impeachment charges, South Korean leadership is in a state of flux. In both countries, U.S. military bases have become central political issues. In China, the increasingly authoritarian tendencies of its current leadership pose implications for the region and the world.

- How will domestic politics affect the foreign policies of our East Asian allies?
- What are the prospects for the opposition to regain power in Japan?
- How will U.S. base issues—including the introduction of new missile defense systems—affect national politics in South Korea and Japan?
- How might anti-Japanese sentiment in Korea and anti-Korean sentiment in Japan be managed by political leaders in each country?
- What are the prospects for closer security cooperation between Japan and South Korea and between the two nations together with the U.S.?

**Yukio Okamoto**, former Special Advisor to the Prime Minister of Japan,  
Adjunct Professor, Ritsumeikan University, Tokyo

**Sook-Jong Lee**, President, East Asia Institute, Seoul

**Sheila Smith**, Senior Fellow for Japan Studies, Council on Foreign Relations

**Zheng Wang**, Director, Center for Peace and Conflict Studies, Seton Hall University

11:00 am

Break

11:15 am

Roundtable Discussion

**ASIA'S ENERGY NEEDS AND ENVIRONMENTAL IMPACT:  
IMPLICATIONS FOR THE U.S. AND THE WORLD**

East Asia is a populous manufacturing region, in which three nations—China, Japan, and Korea—are among the world's top five oil importers and consume more than one quarter of global energy. The larger region is also home to some of the world's most polluted cities. Energy consumption and energy-related CO<sub>2</sub> emissions are both expected to double over the next two decades, raising critical policy issues for the nations of the region and their trading partners. Japan's energy mix was transformed by the Fukushima catastrophe in March 2011, when

it lost all its nuclear power and had to substitute imported fossil fuels. After several incidents involving falsified certificates for components of some of its existing nuclear power plants, the similarly energy import dependent South Korea also had to scale back its reliance on nuclear power.

- How will continued growth in regional energy demand affect the global energy market?
- What are the prospects for regional energy cooperation, e.g., oil, gas, and electric power connectivity?
- What are the possible sustainable non-fossil fuel energy pathways for East Asia?
- What are the obstacles to success of voluntary pledges to cut carbon emissions?
- What are the implications for Asia if the new U.S. administration backs away from the global climate agreement?
- What are the prospects for nuclear power in post-Fukushima Asia?
- Would expanded generation of nuclear energy in China, Korea and Japan pose risks of proliferation?
- The U.S. has started exporting LNG (liquid natural gas) to Japan. How significant is this development?

**Nobuo Tanaka**, former Executive Director of International Energy Agency;  
 President, The Sasakawa Peace Foundation, Tokyo;  
 Distinguished Fellow, Center on Global Energy Policy, Columbia University

- |              |   |
|--------------|---|
| 1:00-2:00 pm | Working Luncheon<br>Discussion continues between members of Congress and scholars on the governance concerns in Japan, Korea and China and the policy implications of the energy and environmental challenges in East Asia. |
| 5:00 pm      | Depart hotel for Tokyo's Haneda airport   |
| 8:00 pm      | Depart Tokyo on ANA # 867   |
| 10:20 pm     | Arrive in Seoul's Gimpo Airport   |
| 11:45 pm     | Arrive at hotel in Seoul  |

**THURSDAY, April 13:**

- |                  |   |
|------------------|---|
| 7:30-8:15 am     | Breakfast is available  |
| 8:30am -12:45 pm | Educational Site Visit to the DMZ at the North Korean border<br>The Demilitarized Zone (DMZ) is a strip of land running across the Korean Peninsula. It was established at the end of the Korean War to serve as a buffer |

zone between the Democratic People's Republic of Korea (North Korea) and the Republic of Korea (South Korea). The DMZ is a de facto border barrier that divides the Korean Peninsula roughly in half. It was created by agreement between North Korea, China and the United Nations in 1953. The DMZ is 160 miles long and about 2.5 miles wide. Within the DMZ is a meeting-point between the two nations in the small Joint Security Area near the western end of the zone in Panmunjeom, where negotiations take place. Commentary will be provided on the bus in both directions by representatives of U.S. military forces stationed in Korea who will accompany the group.

**General Vincent Brooks**, Commander, Combined Forces Command, Korea

1:00-2:00 pm

Luncheon Discussion

**ECONOMIC AND SECURITY CONCERNS ON THE KOREAN PENINSULA**

**Marc Knapper**, Chargé, U.S. Embassy to Korea

2:30-4:00 pm

Meeting with a high-level representative of Korea's leadership (requested)

6:00-7:00 pm

Pre-dinner meeting with a diverse group of English-speaking members of the Korean Parliament

**Cheong Yang Seog**, Member of the Bareun Party  
**Han Jeoung Ae**, Member of the Minjoo Party  
**Hong Ihk Pyo**, Member of the Minjoo Party  
**Ji Sang Wuk**, Member of the Liberty Korea Party  
**Keum Tae Sup**, Member of the Minjoo Party  
**Kim Song Sik**, Member of the People's Party  
**Kim Yong Tae**, Member of the Bareun Party  
**Lee Hye Hoon**, Member of the Bareun Party  
**Na Kyung Won**, Member of the Liberty Korea Party  
**Park In Sook**, Member of the Bareun Party  
**Shim Jae Kwon**, Member of the Minjoo Party  
**Shin Kyoung Min**, Member of the Minjoo Party

7:00-9:00 pm

Working Dinner

Scholars and members of Congress will explore topics covered in the conference. Seating is arranged to expose participants to a diverse range of views and provide opportunity for a meaningful exchange of ideas. Scholars and lawmakers are rotated daily.

**FRIDAY, April 14:**

7:30-8:15 am

Breakfast Buffet is open

9:00 am

Roundtable Discussion

## **U.S. SECURITY CONCERNS AND THE NORTH KOREAN NUCLEAR THREAT**

North Korea has repeatedly violated UN sanctions by testing nuclear weapons and developing ballistic missile capabilities. Experts say that it is moving quickly toward a capacity to threaten the U.S. homeland. China, the United States, Japan, and South Korea each have different equities in the North Korean weapons program. China prefers a divided peninsula with a buffer and stable borders. South Korea seeks unification without major dislocations, Japan is concerned that Pyongyang not direct its weapons in its direction, and the United States is committed to the defense of both allies. The U.S. has decided to install an advanced missile defense system called Terminal High Altitude Area Defense (THAAD) in South Korea in response to North Korea's activity, despite China's objections.

- Is the authoritarian North Korean leadership best viewed as rational or irrational?
- Should U.S. policy be directed towards replacing the Kim regime or destroying the North Korean state?
- Are there reasons for the U.S. military to change its footprint on the peninsula?
- What are the implications of moving forward with the implementation of THAAD?
- What measures might Japan take if U.S. assurances regarding extended deterrence become unconvincing?
- How effective are U.S. sanctions on North Korea?
- Are South Korean aspirations of reunification plausible?

**Christopher Hill**, former U.S. ambassador to South Korea;  
Dean, Josef Korbel School of International Studies, University of Denver

Additional Commentary:

**John DeLury**, Associate Professor of Chinese Studies, Yonsei University  
**Leif-Eric Eastley**, Assistant Professor, Department of International Studies, Ewha University  
**Kim Sung-han**, former Vice Minister of Foreign Affairs for South Korea,  
Professor of International Relations, Korea University, Seoul

11:00 am	Break
11:15 am	Roundtable Discussion Continues
1:00-2:00 pm	Working Luncheon Discussion continues between members of Congress and scholars on the challenges for the U.S. policy regarding North Korea.
6:00-7:00 pm	Pre-dinner remarks, speaker to be determined
7:00-9:00 pm	Working Dinner

Scholars and members of Congress will explore topics covered in the conference. Seating is arranged to expose participants to a diverse range of views and provide opportunity for a meaningful exchange of ideas. Scholars and lawmakers are rotated daily.

**SATURDAY, April 15:**

Rep. Mike Thompson and wife Janet Thompson depart Seoul at 4:00 pm on Korean Air 23 and arrive in San Francisco @ 10:30 am.



March 1, 2017

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Dan Glickman

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Executive Director

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Congressional Program

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The Honorable Mike Thompson  
U.S. House of Representatives  
Washington, DC 20515

Dear Mike:

I would like to invite you and Janet to participate in a congressional conference on ***America's Vital Interests in Asia: Trade, Security and Resource Interests in the Pacific***, April 8-15, 2017, in Tokyo, Japan and Seoul, South Korea, during the Easter recess. We have limited space and must hear from you proactively as soon as possible if you wish to participate.

Congress, in tandem with the new Administration, faces serious economic, security and resource policy concerns in Asia. North Korea's nuclear testing, China's assertiveness in the western Pacific, the uncertain status of the potential Asian trade agreement, and rising energy demands in the context of minimizing carbon emissions will all be covered in a wide-ranging agenda of roundtable discussions in both capitols. We anticipate securing meetings with the top leadership in Japan and Korea. We will also visit the DMZ on the North Korean border, accompanied by U.S. military officials. The agenda is attached.

We will have a mix of contributors from Japan, Korea and China as well as prominent American scholars to assist our discussions. Attendance is by invitation only, with no outside observers, lobbyists, or congressional staff. Funding is provided solely by grants from foundations—no government, individual, corporate or special interest funds are accepted.

Under guidelines established by the House Committee on Standards of Official Conduct, we will provide you with a signed Private Sponsor Travel Certification Form affirming that no lobbyists fund this activity, that the Aspen Institute does not hire or retain lobbyists, and that no lobbyists will be present. Our purpose is education, not advocacy.

If your accompanying spouse or family member is a registered lobbyist, under the ethics rules of the House, their participation would not be allowed. Guidance from the Committee will not allow us to accept any enrollments less than one month prior to the conference.

Departure will be on Saturday, April 8<sup>th</sup> and we will return on Saturday, April 15<sup>th</sup>. Should you accept the invitation, it is required that you participate through the duration of the conference.

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One Dupont Circle, NW

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Suite 700

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Washington, DC 20036-1133

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PH 202.736.5825


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FX 202.785-2737

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[www.aspeninstitute.org](http://www.aspeninstitute.org)

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The Honorable Mike Thompson  
March 1, 2017  
Page Two

Expenses for you and Janet, including business class airfare on a carrier with whom we have negotiated a fare, lodging and meals will be paid by the Aspen Institute Congressional Program. Under the ethics rules, no expenses are covered for entertainment or recreation. Congressional participants are limited to only one accompanying family member.

The Aspen Institute, an independent, nonprofit organization founded in 1950, provides a nonpartisan, neutral forum for leaders to discuss critical issues. The Institute's Congressional Program is designed to promote leadership on selected public policy issues in the Congress by bringing legislators together with internationally-recognized scholars and analysts in high-level discussion. Since the program's inception, over 410 Members of Congress have participated in the 131 conferences we have conducted.

Enclosed is a fact sheet on the program. In addition to answering any questions you may have, it has proven to be useful in responding to public and press inquiries.

Additionally, we hold breakfast meetings in the Capitol throughout the year to keep Members of Congress up-to-date between our annual conferences. We hope you will be able to participate in the extended educational offerings of our breakfast series.

If you have any questions, please feel free to call me at 202-736-5825. I hope you and Janet will join us for this important conference.

Sincerely,



Dan Glickman

Enclosures

# America's Vital Interests in Asia: Trade, Security and Resource Interests in the Pacific

Agenda overview as of 10/21/2016 THE ASPEN INSTITUTE CONGRESSIONAL PROGRAM  
April 8-15, 2017 Tokyo, Japan and Seoul, South Korea (3 nights in each city)  
**\*\*DRAFT AGENDA OVERVIEW\*\***

## **SATURDAY, April 8:**

*American participants travel to Tokyo*

## **SUNDAY, April 9 (overnight in Tokyo):**

*All participants arrive in Tokyo  
Evening Dinner*

## **MONDAY, April 10 (overnight in Tokyo):**

*Roundtable Discussion (9am-1pm)*

### **THE CHANGING SECURITY CLIMATE IN EAST ASIA AND IMPLICATIONS FOR U.S. POLICY**

Akihiko Tanaka, Professor of International Politics,  
University of Tokyo (invited)

Dennis Blair, former U.S. Pacific Fleet Commander,  
former Director of National Intelligence (confirmed)

Shen Dingli, Vice Dean, Institute of International Studies,  
Fudan University, Shanghai (confirmed)

Kim Sung-han, former Vice Minister of Foreign Affairs for  
South Korea, Professor of International  
Relations, Korea University, Seoul (confirmed)

*Afternoon Educational Site Visit to Yokosuka U.S. Naval  
Base*

*Evening Dinner Discussion with Tokyo-based American  
business representatives*

## **TUESDAY, April 11 (overnight in Tokyo):**

*Roundtable Discussion (9am-1pm)*

### **THE ECONOMIC DIMENSIONS OF U.S. ENGAGEMENT IN EAST ASIA: TRADE, INVESTMENT, GLOBAL FINANCIAL STABILITY, AND ENERGY IMPLICATIONS**

Taro Kono, Member of the Japanese Diet (invited)

Marcus Noland, Executive Vice President, Petersen Institute  
of International Economics (tentative)

He Fan, Chief economist, Chongyang Institute for Finance,  
Renmin University of China, Beijing (confirmed)

Han Duk Soo, former President of South Korea, Seoul  
(invited)

*Lunch Discussion with U.S. Ambassador (to be requested)*

*Meeting with Japan's Premier (to be requested)*

*Evening Dinner Discussion with Japanese Members of  
Parliament*

## **WEDNESDAY, April 12 (overnight in Seoul):**

*Roundtable Discussions (9am-1pm)*

### **GOVERNANCE CONCERNS FOR THE U.S.: A SURVEY OF JAPAN, KOREA, AND CHINA**

Yukio Okamoto, former Special Advisor to the Prime  
Minister of Japan, Adjunct Professor,

Ritsumeikan University (confirmed)

Hahn Chaibong, President, Asan Institute for Policy  
Studies, Seoul (invited)

Sheila Smith, Senior Fellow for Japan Studies,  
Council on Foreign Relations (confirmed)

Zhong Wang, Director, Center for Peace and Conflict  
Studies Seton Hall University (confirmed)

### **ASIA'S ENERGY NEEDS AND ENVIRONMENTAL IMPACT: IMPLICATIONS FOR THE U.S. AND THE WORLD**

Nobuo Tanaka, former Executive Director of International  
Energy Agency; President, Sasakawa Peace Foundation,  
Tokyo (confirmed)

*Afternoon Educational Site Visit to a high tech firm*

*Evening travel to Seoul*

5:00pm Depart hotel

7:50pm Depart Tokyo on ANA #867

10:10pm Arrive in Seoul

## **THURSDAY, April 13 (overnight in Seoul):**

*Educational Site Visit to the Korean Demilitarized Zone  
(DMZ) at the North Korean border*

*Lunch Discussion with U.S. Ambassador (to be requested)*

*Meeting with Korea's President (to be requested)*

*Evening Dinner Discussion with Korean Members of  
Parliament*

## **FRIDAY, April 14 (overnight in Seoul):**

*Roundtable Discussion (9am-1pm)*

### **U.S. SECURITY CONCERNS ABOUT THE NORTH KOREAN NUCLEAR THREAT**


Christopher Hill, former U.S. ambassador to South Korea;  
Dean, Josef Korbel School of International  
Studies, University of Denver (confirmed)

*Afternoon Educational Site Visit to a Korean firm TBD*

*Dinner Program with American business representatives*

## **SATURDAY, April 15:**

*American participants depart Seoul, arrive in the U.S.*



THE ASPEN INSTITUTE  
CONGRESSIONAL PROGRAM  
**FACT SHEET**

The Aspen Institute Congressional Program is a nongovernmental, nonpartisan educational program for members of the U.S. Congress. It provides lawmakers with a stronger grasp of critical public policy issues by convening high-level conferences in which legislators are brought together with internationally recognized academics, experts and leaders to study their ideas and to explore various policy alternatives. Political neutrality is essential to the educational mission of the program. There is no identification with a political or party viewpoint and no endorsement of specific legislation. Its Executive Director is former Agriculture Secretary Dan Glickman. Conferences in 2016 included a focus on China, the Middle East, and a meeting between members of Congress and members of the Russian Duma and the German Bundestag. We concurrently had a project on U.S. foreign assistance for congressional staff.

- **Participation.** Since the program's inception, 429 members of Congress (including 35% of the current Congress), 194 international parliamentarians, political and government leaders, and 921 scholar/experts have been involved. Participation is limited to these individuals, their spouses and foundation representatives. No lobbyists, congressional staff or outside observers are permitted.
- **Funding.** Since its inception, the Congressional Program has been funded solely by established foundations. Funding is not accepted from lobbyists, governments, corporations, private citizens or special interests; honoraria are not paid to members of Congress or scholars. Legislators feel free to engage openly because of their confidence in the integrity of the program. In 2017, funding is provided by the following foundations: the Asia Foundation, Carnegie Corporation (foundation) of New York, the Democracy Fund, the Ford Foundation, the Bill and Melinda Gates Foundation, the William and Flora Hewlett Foundation, the Henry Luce Foundation, the John D. and Catherine T. MacArthur Foundation, the Rockefeller Foundation, Rockefeller Brothers Fund, and Sasakawa Peace Foundation, USA.
- **Ethics.** The Congressional Program is in full compliance with the rules adopted by the House in 2007, and also conforms to provisions in the "Honest Leadership and Open Government Act of 2007." Lobbyists have no role whatsoever: they do not plan, fund, or participate in program activities. The Aspen Institute does not employ or retain registered lobbyists. All conference agendas are reviewed by the House and Senate Ethics committees.
- **Venues.** Members of Congress face massive demands on their time. Convening conferences outside Washington gives lawmakers an opportunity to devote time to serious learning and reflection without interruption. To supplement the annual conferences, 20-25 breakfast meetings are held each year in the Capitol featuring distinguished scholars and international experts with both academic and practical experience on program topics.

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