



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Member / Officer Post-Travel Disclosure Form

Original  Amendment

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, B-81 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.**

- Name of Traveler: Fred Upton
- a. Name of Accompanying Relative: Aimey Upton OR None   
 b. Relationship to Traveler:  Spouse  Child  Other (specify): \_\_\_\_\_
- a. Dates: Departure: March 8, 2019 Return: March 10, 2019  
 b. Dates at Personal Expense, if any: Paid for return transportation personally OR None
- Departure City: Washington, D.C. Destination: Sea Island, GA Return City: Washington, D.C.
- Sponsor(s), Who Paid for the Trip: American Enterprise Institute
- Describe Meetings and Events Attended (attach additional pages if necessary): See attached  
Rep Upton attended and spoke on various panels that related to his work on the Energy and Commerce Committee.
- Attached to this form are **each** of the following, signify that each item is attached by checking the corresponding box:
  - a completed *Sponsor Post-Travel Disclosure Form*;
  - the *Primary Trip Sponsor Form* completed by the trip sponsor **prior** to the trip, **including all** attachments **and** the *Grantmaking or Non-Grantmaking Sponsor Forms*;
  - page 2 of the completed *Traveler Form* submitted by the Member or officer; **and**
  - the letter from the Committee on Ethics approving my participation on this trip.
- a. I represent that I participated in each of the activities reflected in the attached sponsor's agenda.  
**Signify statement is true by checking the box:**   
 b. If not, explain: \_\_\_\_\_

LEGISLATIVE RESOURCE CENTER  
2019 MAR 22 AM 11:37  
U.S. HOUSE OF REPRESENTATIVES  
CLERK OF THE HOUSE

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.

Member / Officer Signature: Fred Upton

Date: 03 / 21 / 2019



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Sponsor Post-Travel Disclosure Form

Original  Amendment

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 ten 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: American Enterprise Institute

2. Travel Destination(s): Sea Island, GA

3. Date of Departure: March 8, 2019 Date of Return: March 10, 2019

4. Name(s) of Traveler(s): Rep. Fred Upton

*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 Question 4:

|                            | Total Transportation Expenses   | Total Lodging Expenses            | Total Meal Expenses                               | Total Other Expenses (dollar amount per item and description) |
|----------------------------|---|-----------------------------------|---|---|
| Traveler                   | \$825.09<br>(\$440 round trip airfare, \$385.09 round trip ground transportation) | \$456.31<br>(1 night)             | \$167<br>(2 breakfast)<br>(1 lunch)<br>(2 dinner) | N/A   |
| Accompanying Family Member | \$663.06<br>(\$388 airfare, \$275.06 round trip ground transportation)            | \$0<br>(lodging shared w/ spouse) | \$100<br>(1 breakfast)<br>(1 lunch)<br>(1 dinner) | N/A   |

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:  Date: 3/18/19

Name: Jessica Browning Title: Director of Special Events

Organization: American Enterprise Institute

I am an officer of the above-named organization. Signify statement is true by checking box:

Address: 1789 Massachusetts Ave, NW

Telephone: 202.862.5853 Email: jbrowning@aei.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

1. Name of Traveler: Fred Upton

2. Sponsor(s) who will be paying for the trip: American Enterprise Institute

3. Travel Destination(s): Sea Island, Georgia

4. a. Date of Departure: Friday, March 8<sup>th</sup> Date of Return: Sunday, March 10<sup>th</sup>

b. Will you be extending the trip at your personal expense?  Yes  No

If yes, list dates at personal expense: will be paying for return transportation personally

5. a. Will you be accompanied by a family member at the sponsor's expense?  Yes  No If yes:

(1) Name of Accompanying Family Member: Amy Upton

(2) Relationship to Traveler:  Spouse  Child  Other (specify): \_\_\_\_\_

(3) Accompanying Family Member is at least 18 years of age:  Yes  No

6. a. Did the trip sponsor answer "Yes" to Question 8(c) on the *Primary Trip Sponsor Form* (i.e., travel is sponsored by an entity that employs a registered federal lobbyist or a foreign agent)?  Yes  No

b. If yes, and you are requesting lodging for two nights, explain why the second night 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.

This trip offers Rep. Upton a chance to speak with world leaders about topics in his jurisdiction such as energy, healthcare, and telecommunications.

9. Is the traveler aware of any registered federal lobbyists or foreign agents involved planning, organizing, requesting, 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.

Signature of Employing Member Fred Upton

Date 02/27/19



# 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 website (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: American Enterprise Institute
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: \_\_\_\_\_
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): \_\_\_\_\_  
Rep. Upton as well as the attached full participant list; all members were invited to speak at policy briefings.
5. Is travel being offered to an accompanying family member of the House invitee(s)?  Yes  No
6. Date of Departure: March 7, 2019 Date of Return: March 10, 2019
7.
  - a. City of departure: Washington, DC
  - b. Destination(s): Sea Island, GA
  - c. City of return: Washington, DC
8. **Check only one.** I represent that:
  - 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 only 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 you checked this box, explain why the second night of lodging is warranted: \_\_\_\_\_



# U.S. House of Representatives COMMITTEE ON ETHICS

10. Attached is a detailed agenda of the activities 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 only one of the following:**
- 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. *Not Applicable.* 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:

AEI is a non-profit, tax-exempt public policy research organization. AEI plans, sponsors, and pays for the entirety of the World Forum. The World Forum addresses public policy issues important to AEI research including the status of economic and foreign policy in 2019; how cities, AI, and big tech are evolving America; US interactions with the Middle East, Central and South America, and China; the opioid crisis; the rise of the administrative state; the slow loss of institutional authority; polarization and extremism in policy; values and education reform; and the economy after the financial crisis.

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. **Check only one.** I represent that either:

- 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): \_\_\_\_\_

2) Provide the reason for selecting the location of the event or trip: \_\_\_\_\_

\_\_\_\_\_

16. Name, nightly cost, and reasons for selecting each hotel or other lodging facility:

Hotel Name: The Cloister at Sea Island City: Sea Island, GA Cost Per Night: 536.84

Reason(s) for Selecting: This is the only lodging option as it's a private island and is the only hotel.

Hotel Name: \_\_\_\_\_ City: \_\_\_\_\_ Cost Per Night: \_\_\_\_\_

Reason(s) for Selecting: \_\_\_\_\_

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:*



U.S. House of Representatives

# COMMITTEE ON ETHICS

18. Total Expenses for each Participant:

|  |  |   |  |
|--|--|---|--|
| <input type="checkbox"/> Actual Amounts                  | <b>Total Transportation Expenses per Participant</b>                                     | <b>Total Lodging Expenses per Participant</b> | <b>Total Meal Expenses per Participant</b>   |
| <input checked="" type="checkbox"/> Good Faith Estimates |  |   |  |
| For each Member, Officer, or Employee                    | \$740 (\$320 airfare, \$420 round trip for ground transportation - each leg being \$210) | MAX: \$1368.93 (\$456.31/night)               | MAX: \$267.99 (3 Breakfast, \$27/meal)<br>(2 Lunches, \$33/meal)<br>(3 Dinners, \$40/meal) |
| For each Accompanying Family Member                      | \$320 airfare (Ground transportation is shared)  | N/A   | MAX: \$267.99 (3 Breakfast, \$27/meal)<br>(2 Lunches, \$33/meal)<br>(3 Dinners, \$40/meal) |

|                                       |  |   |
|---------------------------------------|--|---|
|                                       | <b>Other Expenses (dollar amount per item)</b> | <b>Identify Specific Nature of "Other" Expenses (e.g., taxi, parking, registration fee, etc.)</b> |
| For each Member, Officer, or Employee | N/A  |   |
| For each Accompanying Family Member   | N/A  |   |


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

19. Check only one:

- a. I certify that I am an officer of the organization listed below:  OR
- b. *Not Applicable.* Trip 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:  Date: February 4, 2019

Name: Jessica Browning

Title: Director of Special Events

Organization: American Enterprise Institute

Address: 1789 Massachusetts Ave NW, Washington, DC 20036

Telephone: 202.862.5853

Email: jbrowning@aei.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, D.C. 20515  
 Phone: 202-225-7103 General Fax: 202-225-7392



ONE HUNDRED SIXTEENTH CONGRESS

**U.S. House of Representatives**  
COMMITTEE ON ETHICS

February 28, 2019

The Honorable Fred Upton  
U.S. House of Representatives  
2183 Rayburn 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 Sea Island, Georgia, scheduled for March 8 to 10, 2019, sponsored by American Enterprise Institute. We note that you will be paying for your own return transportation.

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.

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

Sincerely,

Theodore E. Deutch  
Chairman

Kenny Marchant  
Ranking Member

TED/KM:adw

## AGENDA AT A GLANCE

### Thursday, March 7

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|                |                 |
|----------------|-----------------|
| All Day        | Registration    |
| 5:15–6:00 p.m. | Reception       |
| 6:00–7:45 p.m. | Dinner          |
| 8:00–9:00 p.m. | Starlight Chats |

### Friday, March 8

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|                       |                       |
|-----------------------|-----------------------|
| 7:15–8:30 a.m.        | Early Bird Breakfasts |
| 8:45–10:15 a.m.       | Breakout Sessions     |
| 10:30 a.m.–12:00 p.m. | General Session       |
| 12:15–1:45 p.m.       | Luncheon              |
| 2:00–4:00 p.m.        | Afternoon Activities  |
| 5:00–5:30 p.m.        | Reception             |
| 5:30–6:30 p.m.        | Dinner Conversation   |
| 6:45–8:15 p.m.        | Dinner                |
| 8:30–9:30 p.m.        | Starlight Chats       |

### Saturday, March 9

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|                       |                        |
|-----------------------|------------------------|
| 7:15–8:30 a.m.        | Early Bird Breakfasts  |
| 8:45–10:15 a.m.       | Breakout Sessions      |
| 10:30 a.m.–12:00 p.m. | General Session        |
| 12:15–1:45 p.m.       | Luncheon               |
| 2:00–3:15 p.m.        | Breakout Sessions      |
| 4:00–5:00 p.m.        | Afternoon Conversation |
| 5:00–5:45 p.m.        | Reception              |
| 6:00–7:00 p.m.        | Dinner Conversation    |
| 7:15–8:45 p.m.        | Dinner                 |

### Sunday, March 10

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|                 |                       |
|-----------------|-----------------------|
| 8:30–10:00 a.m. | Early Bird Breakfasts |
| 10:00 a.m.      | Adjournment           |



## 2019 Speakers

ALEXANDER ACOSTA, US Secretary of Labor  
YOUSEF AL OTAIBA, United Arab Emirates Ambassador to the United States  
DAVID BROOKS, Columnist, *New York Times*  
ERIK BRYNJOLFSSON, Professor, Massachusetts Institute of Technology Sloan School of Management  
SHELLEY MOORE CAPITO, US Senate (R-WV)  
JEAN CASE, Chairman, National Geographic; CEO, The Case Foundation  
STEVE CASE, Chairman and CEO, Revolution; Cofounder, AOL  
ELAINE L. CHAO, US Secretary of Transportation  
DICK CHENEY, Former Vice President of the United States  
SUSAN COLLINS, US Senate (R-ME)  
TIM COOK, Chief Executive Officer, Apple Inc.  
JOHN CORNYN, Senate Majority Whip (R-TX)  
TOM COTTON, US Senate (R-AR)  
DAN CRENSHAW, US House of Representatives (R-TX)  
TED CRUZ, US Senate (R-TX)  
MITCH DANIELS, President, Purdue University  
JOHN K. DELANEY, Former US House of Representatives (D-MD)  
DOUG DUCEY, Governor of Arizona  
ELIZABETH ECONOMY, Director, Asia Studies, Council on Foreign Relations  
MARTIN FELDSTEIN, George F. Baker Professor of Economics, Harvard University  
MIKE GALLAGHER, US House of Representatives (R-WI)  
PAUL GIGOT, Editorial Page Editor, *Wall Street Journal*  
JOSH GOTTHEIMER, US House of Representatives (D-NJ)  
MICHAEL GOVE, UK Secretary of State for Environment, Food and Rural Affairs  
LINDSEY GRAHAM, US Senate (R-SC)  
PHIL GRAMM, Vice Chairman, Lone Star Global Acquisitions Ltd.  
HUGO GURDON, Editorial Director, *Washington Examiner*  
BILL HASLAM, Former Governor of Tennessee  
KEVIN HASSETT, Chairman, Council of Economic Advisers  
JIM HIMES, US House of Representatives (D-CT)  
GLENN HUBBARD, Dean, Columbia Business School  
JOEL KOTKIN, Chapman University; Center for Opportunity Urbanism  
NICHOLAS KRISTOF, Op-Ed Columnist, *New York Times*  
BILL KRISTOL, Founding Director, Defending Democracy Together  
JON KYL, Former US Senator (R-AZ); AEI  
MIKE LEE, US Senate (R-UT)  
LEONARD LEO, Executive Vice President, Federalist Society  
YUVAL LEVIN, Editor, *National Affairs*  
MITCH MCCONNELL, Senate Majority Leader (R-KY)  
ROBERT NELLER, Commandant of the Marine Corps  
JIMMY PANETTA, US House of Representatives (D-CA)  
DAVID PERDUE, US Senate (R-GA)  
MIKE POMPEO, US Secretary of State  
ROB PORTMAN, US Senate (R-OH)  
DINA POWELL, Partner, Investment Banking Division of The Goldman Sachs Group Inc.  
MARTA LUCÍA RAMÍREZ, Vice President, Republic of Colombia  
WILBUR ROSS, US Secretary of Commerce  
NORMAN ROULE, CEO, Pharos Strategic Consulting LLC  
IAN ROWE, CEO, Public Preparatory Network  
BEN SASSE, US Senate (R-NE)  
ISABEL SAWHILL, Senior Fellow, Economic Studies, Brookings Institution  
ANDREW SELEE, President, Migration Policy Institute  
MARTIN SELIGMAN, Director, Positive Psychology Center, University of Pennsylvania  
GENE SPERLING, Former Director, National Economic Council  
ELISE STEFANIK, US House of Representatives (R-NY)  
FRANCIS SUAREZ, Mayor, City of Miami  
THOMAS SUOZZI, US House of Representatives (D-NY)  
A. G. SULZBERGER, Publisher, *New York Times*  
LAWRENCE H. SUMMERS, Charles W. Eliot University Professor, Harvard University  
ASTRO TELLER, Captain of Moonshots, X  
FRED UPTON, US House of Representatives (R-MI)  
JOSEPH JAUSHIEH WU, Minister of Foreign Affairs, Republic of China (Taiwan)  
MARK ZANDI, Chief Economist, Moody's Analytics