

U.S. House of Representatives  
Committee on Ethics

EMPLOYEE POST-TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from private sources for travel taken in connection with official duties. This form does not eliminate the need to report privately-funded travel on the annual Financial Disclosure Statements of those employees required to file them. 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: Peter Rivera
2. a. Name of accompanying relative: \_\_\_\_\_ or None   
 b. Relationship to Traveler:  Spouse  Child  Other (specify): \_\_\_\_\_
3. a. Dates of departure and return: Departure: 05.04.17 Return: 05.05.17  
 b. Dates at personal expense (if any): \_\_\_\_\_ or None
4. Departure city: Washington D.C. Destination: New York, NY Return city: Philadelphia
5. Sponsor(s) (who paid for the trip): The Depository Trust & Clearing Corporation
6. Describe meetings and events attended: S & P Global "State of the Financial Services Sector", NYSE Group on NYSE Regulation. NYSE floor tour.
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 employee; *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 attached sponsor's agenda. (Signify that statement is true by checking box):   
 b. If not, explain: \_\_\_\_\_

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

SIGNATURE OF TRAVELER:  DATE: 5/10/17

I authorized this travel in advance. I have determined that all of the expenses listed on the attached Sponsor Post-Travel Disclosure form were necessary and that the travel was in connection with the employee's official duties and would not create the appearance that the employee is using public office for private gain.

NAME OF SUPERVISING MEMBER: Rep. Warren Davidson DATE: 5/10/17

SIGNATURE OF SUPERVISING MEMBER: 

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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 Depository Trust & Clearing Corporation

2. Travel Destination(s): New York, NY

3. Date of Departure: 05.04.17 Date of Return: 05.05.17

4. Name(s) of Traveler(s): Christian Jorgenson, Peter Rivera, Tanner Daniel, Darryl Blakey, Mona Dooley  
(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	\$596.50	\$220.37	\$101.53	\$0
Accompanying Relative	N/a	N/a	N/a	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: 

Name: M. Laura Astrada Title: Executive Director

Organization: The Depository Trust & Clearing Corporation

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

Address: 1455 Pennsylvania Ave NW, Ste. 725  
Washington, D.C. 20004

Telephone number: 202.383.2672

Email Address: lastrada@dtcc.com

*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

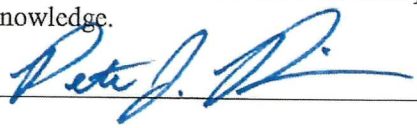
This form should be completed by House Members, officers, or employees seeking Committee approval of privately-sponsored travel or reimbursement for travel under House Rule 25, clause 5. The completed form should be submitted directly to the Committee by each invited House Member, officer, or employee, 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: Peter Rivera

**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: 

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

For staff, name of employing Member or committee: Rep. Warren Davidson

Office address: 1004 LHOB

Telephone number: 202-225-6205

Email address of contact person: peter.rivera@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)

U.S. House of Representatives  
Committee on Ethics

TRAVELER FORM

1. Name of Traveler: Peter Rivera
2. Sponsor(s) (who will be paying for the trip): The Depository Trust and Clearing Corporation
3. Travel destination(s): New York City
4. a. Date of departure 05/04/17 Date of return: 05/05/17  
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: \_\_\_\_\_  
(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.  
Legislative Assistant who handles the Financial Services Committee  
work for Rep. Davidson. This trip will help me better understand  
financial markets and the role DTCC plays in it.
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: 4/3/17

Warren Davidson  
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 Depository Trust and Clearing Corporation
  
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):  
Information attached
  
5. Is travel being offered to an accompanying relative of the House invitee(s)?  Yes  No
  
6. Date of departure: 05/04/17 Date of return: 05/05/17
  
7.
  - a. City of departure: Washington, D.C.
  - b. Destination(s): New York, N.Y.
  - c. City of return: Washington, D.C.
  
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:

DTCC planned the agenda, including inviting the participation of other industry members, and bore the full cost of travel and attendance for all House employees. DTCC is a user-owned and operated financial market utility with the mission of increasing efficiency and minimizing risk in the financial markets. DTCC has sponsored a similar trip numerous times in the past, with the most recent trip occurring in March 2015.

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): \_\_\_\_\_  
Approx. \$60/day

2) Provide reason for selecting the location of the event or trip: \_\_\_\_\_  
New York City is the U.S. headquarters of DTCC.

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

Hotel name: Hilton DoubleTree FiDi City: New York, NY Cost per night: \$189

Reason(s) for selecting: Walking distance to programming location

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):

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	\$350	\$189	\$100
For each accompanying relative	N/A	N/A	N/A

	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	\$0	
For each accompanying relative	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 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: Mark Wetjen

Name: Mark Wetjen

Title: Managing Director and Head of Global Public Policy

Organization: The Depository Trust and Clearing Corporation

Address: 1455 Pennsylvania Ave NW, Ste. 725 Washington DC 20004

Telephone number: 202-383-2675

Email address: mwetjen@dtcc.com

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)

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

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*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

April 25, 2017

Mr. Peter J. Rivera  
Office of the Honorable Warren Davidson  
1004 Longworth House Office Building  
Washington, DC 20515

Dear Mr. Rivera:

Pursuant to House Rule 25, clause 5(d)(2), the Committee on Ethics hereby approves your proposed trip to New York, New York, scheduled for May 4 to May 5, 2017, sponsored by the Depository Trust and Clearing Corporation. We remind you that, because the trip sponsor employs a federal lobbyist, you may participate in officially-connected activity on one calendar day only.

You must complete an Employee Post-Travel Disclosure Form (which your employing Member must also sign) 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. If you are required to file an annual Financial Disclosure Statement, 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.

Susan W. Brooks  
Chairwoman

Sincerely,

Theodore E. Deutch  
Ranking Member

SWB/TED;jls