

U.S. House of Representatives  
Committee on Ethics

EMPLOYEE POST-TRAVEL DISCLOSURE FORM

LEGISLATIVE RESOURCE CENTER

2017 MAY 19 PM 1:20

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: Mona Dooley
2. a. Name of accompanying relative: \_\_\_\_\_ *or* None   
 b. Relationship to Traveler:  Spouse  Child  Other (specify): \_\_\_\_\_
3. a. Dates of departure and return: Departure: 5/4/2017 Return: 5/5/2017  
 b. Dates at personal expense (if any): \_\_\_\_\_ *or* None
4. Departure city: Washington, D.C. Destination: New York, New York Return city: Washington, D.C.
5. Sponsor(s) (who paid for the trip): The Depository Trust and Clearing Corporation
6. Describe meetings and events attended: We attended meetings with senior executives to learn to learn more about the role of the DTCC in the U.S. capital markets.
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: 5/19/2017

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. Peter King DATE: 5/19/2017

SIGNATURE OF SUPERVISING MEMBER: 

(A)

**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

1. Name of Traveler: Mona Dooley
2. Sponsor(s) (who will be paying for the trip): The Depository Trust and Clearing Corporation
3. Travel destination(s): New York, New York
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.  
I handle Rep. Peter King's Financial Services Committee work and therefore would benefit from the planned discussions and learning about DTCC.

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  
As Rep. King's Senior Legislative Assistant, I handle Financial Services issues.

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: 4/3/2017

  
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 <i>Transportation</i> Expenses per Participant	Total <i>Lodging</i> Expenses per Participant	Total <i>Meal</i> Expenses per Participant
For each Member, Officer, or employee	\$350	\$189	\$100
For each accompanying relative	N/A	N/A	N/A

	<i>Other</i> 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

April 25, 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

Ms. Mona Dooley  
Office of the Honorable Peter King  
339 Cannon House Office Building  
Washington, DC 20515

Dear Ms. Dooley:

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

## Financial Markets Discussion Series Working Agenda

*As indicated below, participants have the option of traveling to New York on Thursday, May 4 or Friday, May 5*

### Thursday, May 4, 2017

- 3:00 p.m.**                      **OPTION A: Depart for New York Penn Station via Amtrak Acela 2172**
- *Arrive Penn Station at 5:46 p.m.*
- 6:00 p.m.**                      **Depart New York Penn Station en route Hilton Doubletree (Financial District)**
- *8 Stone Street, New York, NY 10004*
- 6:30 p.m.**                      **Arrive Hotel and Proceed to Check-In**

### Friday, May 5, 2017

- 5:00 a.m.**                      **OPTION B: Depart for New York Penn Station via Amtrak Acela 2100**
- *Arrive Penn Station at 7:54 a.m.*
  - *Depart via taxi for 55 Water Street to join group*
- 8:00 a.m.**                      **Gather in Lobby of Hilton Doubletree**
- *Please check out of hotel prior to gathering*
  - *Depart en route 55 Water Street*
- 8:15 a.m.**                      **Luggage Drop**
- *Location: Hilton lobby*
- 8:20 a.m.**                      **Depart en route 55 Water Street**
- *S&P Global escort from security desk*
- 8:30 – 9:00 a.m.**              **Networking Breakfast**
- 9:00 – 10:50 a.m.**            **Introduction to S&P Global**



<b>10:50 – 11:00 a.m.</b>	<b>Break</b>
<b>11:00 – 11:10 a.m.</b>	<b>DTCC Background from Vice Chairman Larry Thompson</b>
<b>11:10 – 11:50 a.m.</b>	<b>Discussion 1: Fintech roundtable with Rob Palatnick</b>
<b>11:50 – 12:15 p.m.</b>	<b>Networking Lunch with DTCC President and CEO, Mike Bodson</b>
<b>12:15 – 1:15 p.m.</b>	<b>Discussion 2: Clearance and Settlement Overview and Industry Initiatives Discussion with Managing Director and Head of Clearing Services Murray Pozmanter</b>
<b>1:15 – 2:15 p.m.</b>	<b>Discussion 3: Cyber Security roundtable with DTCC CSIO Stephen Scharf</b>
<b>2:30 p.m.</b>	<b>Depart for ICE NYSE</b> <ul style="list-style-type: none"><li>• <i>11 Wall Street</i></li></ul>
<b>2:45 – 3:45 p.m.</b>	<b>Overview of ICE NYSE: Equities, Futures and Company Listings</b>
<b>3:45 – 4:00 p.m.</b>	<b>Tour of Trading Floor</b>
<b>4:00 p.m.</b>	<b>Watch Closing Bell</b>
<b>4:30 p.m.</b>	<b>Networking Reception</b> <ul style="list-style-type: none"><li>• <i>The Dead Rabbit Grocery and Grog – 30 Water Street</i></li></ul>
<b>6:00 p.m.</b>	<b>Depart for New York Penn Station</b>
<b>7:00 p.m.</b>	<b>Depart for Washington DC via Amtrak Acela 2171</b>

DTCC Financial Markets Discussion Series

May 4-6, 2017

Name	Office	Title	Email
Senate			
1 Gregg Richard	Senate Banking	Staff Director	
2 Elad Roisman	Senate Banking	Chief Counsel	
3 Joe Carapiet	Senate Banking	Senior Counsel	
4 Beth Zorc	Senate Banking	Senior Counsel	
5 Jonathan McKernan	Sen. Corker	Legislative Assistant	
6 Douglas Sellers	Sen. Corker	Legislative Aide	
7 Geoff Okamoto	Sen. Toomey	Subcommittee Staff Director	
8 John Crews	Sen. Toomey	Legislative Aide	
9 Scott Ripinger	Sen. Heller	Legislative Assistant	
10 Ammon Simon	Sen. Sasse	Counsel	
11 Andrew Rothe	Sen. Rounds	Senior Legislative Assistant	
12 Gerald Huang	Sen. Perdue	Legislative Assistant	
13 Tyler Williams	Sen. Tillis	Legislative Assistant	
14 Graham Steele	Senate Banking	Chief Counsel	
15 Elisha Tuku	Senate Banking	Senior Counsel	
16 Megan Cheney	Senate Banking	Legislative Assistant	
17 James Ahn	Sen. Reed	Counsel	
18 Rebecca Schatz	Sen. Menendez	Legislative Counsel	
19 Kellin Clark	Sen. Tester	Legislative Assistant	
20 Milan Dalal	Sen. Warner	Economic Adviser	
21 Rafi Martina	Sen. Warner	Policy Adviser	
22 Bharat Ramamurti	Sen. Warren	Counsel	
23 Craig Radcliffe	Sen. Heitkamp	Banking Legislative Assistant	
24 Nick Catino	Sen. Donnelly	Banking Legislative Assistant	
25 Mika Morse	Sen. Schatz	Legislative Counsel	
26 Bill Dauster	Sen. Van Hollen	Policy Director	
27 Will Ruder	Sen. Moran	Legislative Director	
28 Zack Rosenblum	Sen. Schumer	Counsel	
29 Brendan Dunn	Sen. McConnell	Economic Advisor	
30 Charlie Thornton	Senate Ag	Counsel	
House			

1	Jon Blum	House Financial Services Committee	Professional Staff
2	Chase Burgess	House Financial Services Committee	Legislative Assistant
3	Rebekah Goshorn	House Financial Services Committee	Counsel
4	Ed Skala	House Financial Services Committee	Policy Director
5	Bryan Wood	House Financial Services Committee	Counsel
6	Mona Dooley	Rep. Peter King	Financial Services Legislative As
7	Peter Freeman	Rep. Ed Royce	Deputy Chief of Staff
9	Courtney Lincoln	Rep. Frank Lucas	Deputy Chief of Staff
10	Brad Morris	Rep. Frank Lucas	Financial Services Legislative As
11	Matt Mulder	Rep. Patrick McHenry	Chief Counsel
12	Chris Worrell	Rep. Patrick McHenry	Financial Services Legislative As
13	Chris Brown	Rep. Blaine Luetkemeyer	Deputy Chief of Staff
14	Marliss McManus	Rep. Bill Huiizenga	Legislative Director
15	Andy Taylor	Rep. Sean Duffy	Deputy Chief of Staff
16	Mark Gilbride	Rep. Steve Stivers	Financial Services Legislative As
17	Bill Hulse	Rep. Randy Hultgren	Legislative Assistant
18	Kyle Glenn	Rep. Dennis Ross	Deputy Chief of Staff
19	Melissa Robel	Rep. Dennis Ross	Financial Services Legislative As
20	Chas Thomas	Rep. Robert Pittenger	Financial Services Legislative As
21	Erik Rust	Rep. Ann Wagner	Legislative Assistant
22	Nick Lunneborg	Rep. Tom Emmer	Legislative Assistant
23	John Huston	Rep. Luke Messer	Senior Policy Advisor
24	Christian Jorgenson	Rep. Scott Tipton	Legislative Counsel
25	Dustin Sherer	Rep. Scott Tipton	Legislative Director
26	Philip Swartzfager	Rep. Bruce Poliquin	Legislative Director
27	Joshua Satterfield	Rep. Mia Love	Financial Services Legislative As
28	Holli Heiles	Rep. French Hill	Senior Advisor
29	Kevin Wysocki	Rep. Andy Barr	Financial Services Legislative As
30	Kevin Dowling	Rep. Lee Zeldin	Legislative Director
31	Bridget Dobyhan	Rep. Dave Trott	Legislative Director
32	Colin Carr	Rep. Barry Loudermilk	Deputy Chief of Staff
33	Justin Durbin	Rep. Tom MacArthur	Legislative Assistant
34	Peter Rivera	Rep. Warren Davidson	Legislative Assistant
35	Justin Melvin	Rep. David Kustoff	Legislative Director
36	Ryan Rusbuldt	Rep. Claudia Tenney	Senior Legislative Assistant
37	Julia Tishman	Rep. Trey Hollingsworth	Financial Services Legislative As

38	Erika Jeffers	House Financial Services Committee	Senior Policy Director
39	Katelynn Bradley	House Financial Services Committee	Senior Counsel
40	Ben Harney	Rep. Carolyn Maloney	Counsel
41	Rick Erkel	Rep. Nydia Velazquez	Financial Services Legislative As
42	Aymeric Saha	Rep. Greg Meeks	Policy Director
43	Gira Bose	Rep. Mike Capuano	Counsel
44	Jackie Cahan	Rep. Stephen Lynch	Counsel
45	Tanner Daniel	Rep. David Scott	Financial Services Legislative As
46	Christina Mahoney	Rep. Emanuel Cleaver	Financial Services Legislative As
47	Noah Marine	Rep. Ed Perlmutter	Legislative Director
48	Rachel Kelly	Rep. Jim Himes	Deputy Chief of Staff
49	Scott Shewcraft	Rep. Bill Foster	Legislative Director
50	Alison Share	Rep. Dan Kildee	Legislative Director
51	Lauren Santabar	Rep. John Delaney	Legislative Director
52	Alyssa Marois	Rep. Kyrsten Sinema	Legislative Director
53	Scott Farnin	Rep. Joyce Beatty	Financial Services Counsel
54	Brendan Woodbury	Rep. Denny Heck	Legislative Director
55	Scott Hinkle	Rep. Juan Vargas	Legislative Director
56	Mike Lukso	Rep. Josh Gottheimer	Legislative Director
57	Julie Merberg	Rep. Vicente Gonzalez	Legislative Director
58	Chris Fisher	Rep. Charlie Crist	Legislative Director
59	Mark Snyder	Rep. Ruben Kihuen	Legislative Director
60	Paul Balzano	House Committee on Agriculture	Professional Staff
61	Cameron Bishop	Rep. Austin Scott	Legislative Director
62	Darryl Blakey	House Committee on Agriculture	Legislative Assistant
63	Caleb Crosswhite	House Committee on Agriculture	Counsel
64	Sean Gard	Rep. Gwen Moore	Chief of Staff





Securing Today. Shaping Tomorrow.®

**Mark Wetjen**  
*Managing Director and Head of Global  
Public Policy*

1455 Pennsylvania Ave NW  
Suite 725  
Washington, D.C. 20004

Tel: 202.383.2675  
mwetjen@dtcc.com

March 17, 2017

Mona Dooley  
Financial Services Legislative Assistant  
Rep. Peter King

Dear Mona,

On behalf of The Depository Trust & Clearing Corporation (DTCC), I would like to invite you to participate in the upcoming **Financial Markets Discussion Series** scheduled for May 5, 2017 in New York City. DTCC is partnering with other industry leaders to provide you with informative panel discussions and interactive sessions touching on cutting-edge developments in the financial markets related to market structure, cybersecurity, and fintech, among others.

*WHAT:* Financial Markets Discussion Series

*WHO:* This event is designed for Congressional staffers who handle financial services policy for House Members, Senators, and relevant Congressional Committees.

*WHEN :* Thursday, May 4 (travel and overnight)  
Friday, May 5 (all-day event)

*WHERE:* 55 Water Street, 36<sup>th</sup> Floor  
New York, NY

*DETAILS:* The event will focus on current issues and updates impacting financial markets and will highlight topics such as:

- Market structure overview
- Fintech developments
- Cybersecurity challenges
- Introduction to S&P Global

As in past years, DTCC has again partnered with **S&P Global and the InterContinental Exchange** to expand the scope of the discussion.

For those unfamiliar with DTCC, the event will provide an introduction to the critical role we play as the premier post-trade market infrastructure for the global financial services industry.

*Travel and Hotel Arrangements (May 4 – May 5, 2017)*

DTCC will cover the cost of your train to/from New York City and hotel room the evening of Thursday, May 4. Accommodations can be made if participants prefer to travel via train the morning of Friday, May 5. Please find the necessary paperwork required for travel and working agenda outlining travel options attached. Please note that space is limited.

The House Ethics Committee and Senate Ethics Committee require a minimum of four weeks to process paperwork and grant approval for travel. Therefore, we are asking interested participants to RSVP to DTCC and have all forms submitted to Ethics **no later than April 4, 2017**.

To RSVP and coordinate travel arrangements, please contact:

- Katie Paisley at 202-383-2672 and [kpaisley@dtcc.com](mailto:kpaisley@dtcc.com)
- Ted Serafini at 202-383-2677 and [tserafini@dtcc.com](mailto:tserafini@dtcc.com)
- Brian Werstler at 202-383-2676 and [bwerstler@dtcc.com](mailto:bwerstler@dtcc.com)

*About DTCC*

With over 40 years of experience, DTCC is the premier post-trade market infrastructure for the global financial services industry. From operating facilities, data centers and offices in 16 countries, DTCC, through its subsidiaries, automates, centralizes and standardizes the post-trade processing of financial transactions, mitigating risk, increasing transparency and driving efficiency for thousands of broker/dealers, custodian banks and asset managers worldwide. Industry owned and governed, the firm simplifies the complexities of clearing, settlement, asset servicing, data management and information services across asset classes, bringing increased security and soundness to the financial markets. In 2015, DTCC's subsidiaries processed securities transactions valued at more than US\$1.5 quadrillion. Its depository provides custody and asset servicing for securities issues from over 130 countries and territories valued at US\$45.4 trillion. DTCC's global trade repository maintains approximately 40 million open OTC positions and processes roughly 280 million messages a week.

Sincerely,

Mark Wetjen  
Managing Director, Head of Global Public Policy