U.S. House of Representatives
COMMITTEE ON ETHICS

Employee Post-Travel Disclosure Form

☐ *Original* ☐ *Amendment*

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, 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.

1. Name of Traveler: Mitchel Wilkinson
2. a. Name of Accompanying Relative: _____ *OR* None ☑
   b. Relationship to Traveler: ☐ Spouse ☐ Child ☐ Other (specify): _____
3. a. **Dates:** Departure: Sep. 12 2019 Return: sep. 13 2019
   b. Dates at Personal Expense, if any: _____ *OR* None ☐
4. Departure City: Washington DC Destination: Chicago Return City: Washington DC
5. Sponsor(s), Who Paid for the Trip: OCC
6. Describe Meetings and Events Attended: All were about options and financial derivatives
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*** the *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 statement is true by checking the box:*** ☑
   b. If not, explain: _____

LEGISLATIVE RESOURCE CENTER
2020 DEC 16 PM 12:52
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HAND DELIVERED

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

Signature of Traveler: _____ **Date:** 10/8/19

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: Frank Lucas **Date:** 10/8/19

Signature of Supervising Member: Frank D. Lucas

Version date 12/2018 by Committee on Ethics

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: Options Clearing Corporation (OCC) , Cboe Global Markets
2. Travel Destination(s): Chicago, IL
3. Date of Departure: 9/12/2019 Date of Return: 9/13/2019
4. Name(s) of Traveler(s): Mitchell Wilkinson

   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	$689.01	$315.78	$28.58	n/a
Accompanying Family Member	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: Denise Knabjian Date: 9/19/19

Name: Denise Knabjian Title: SVP, Investor Education

Organization: Options Clearing Corporation (OCC)

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

Address: 125 South Franklin Street Suite 1200, Chicago, IL 60606

Telephone: 312.322.4307 Email: dknabjian@theocc.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.

Version date 12/2018 by Committee on Ethics

U.S. House of Representatives
COMMITTEE ON ETHICS

TRAVELER FORM

1. Name of Traveler: Mitchell Wilkerson
2. Sponsor(s) who will be paying for the trip: CBOE OCC
3. City and State OR Foreign Country of Travel: Chicago, IL
4. a. Date of Departure: 9/12 Date of Return: 9/13
   b. Will you be extending the trip at your personal expense? ☐ Yes ☑ No
   If yes, list dates at personal expense: _____
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: _____
   (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.**
   I handle fin. services issues, including options issues.
   My title is Legislative Assistant - Mkt
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 [signature] Date 8/5/14

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: Options Clearing Corporation (OCC)

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: Cboe Global Markets

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): Please see attached list

5. Is travel being offered to an accompanying family member of the House invitee(s)? ☐ Yes ☑ No

6. Date of Departure: September 12, 2019 Date of Return: September 13, 2019

7. a. City of departure: Washington, DC
   b. Destination(s): Chicago, Illinois
   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: _____

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:
    The Options Clearing Corporation (OCC) promotes stability and market integrity thought effective clearance, settlement, and risk management services. OCC supports educating policymakers and their staff on market infrastructure, and risk management, clearance and settlement of listed options products.

13. *Answer parts a and b. Answer part c if neccessary:*
    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): $50.00
    2) Provide the reason for selecting the location of the event or trip: Event sponsors and other participants are located in the city of Chicago

16. Name, nightly cost, and reasons for selecting each hotel or other lodging facility:
    Hotel Name: Hyatt Centric Chicago Loop City: Chicago, IL Cost Per Night: $269.00
    Reason(s) for Selecting: Hotel is centrally located near event the event sponsors and other event participants.
    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:**

☐ Actual Amounts ☑ Good Faith Estimates	Total Transportation Expenses per Participant	Total Lodging Expenses per Participant	Total Meal Expenses per Participant
For each Member, Officer, or Employee	$650.00	$300.00	$50.00
For each Accompanying Family Member	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	n/a	n/a
For each Accompanying Family Member	n/a	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: Denise Knabjian Date: 7/15/19

Name: Denise Knabjian

Title: Senior Vice President for Investor Education

Organization: Options Clearing Corporation

Address: 125 South Franklin Street, Suite 1200, Chicago, IL 60606

Telephone: 1-312-322-4307

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

Theodore E. Deutch, Florida
Chairman
Kenny Marchant, Texas
Ranking Member

Grace Meng, New York
Susan Wild, Pennsylvania
Dean Phillips, Minnesota
Anthony Brown, Maryland

John Ratcliffe, Texas
George Holding, North Carolina
Jackie Walorski, Indiana
Michael Guest, Mississippi

ONE HUNDRED SIXTEENTH CONGRESS

U.S. House of Representatives

COMMITTEE ON ETHICS

Thomas A. Rust
Staff Director and Chief Counsel

David W. Arrojo
Counsel to the Chairman

Christopher A. Donesa
Counsel to the Ranking Member

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

September 9, 2019

Mr. Mitchell Wilkinson
Office of the Honorable Frank Lucas
2405 Rayburn House Office Building
Washington, DC 20515

Dear Mr. Wilkinson:

Pursuant to House Rule 25, clause 5(d)(2), the Committee on Ethics hereby approves your proposed trip to Chicago, Illinois, scheduled for September 12 to 13, 2019, sponsored by Options Clearing Corp. and CBOE Global Markets.

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.

Sincerely,

Theodore E. Deutch
Chairman

Kenny Marchant
Ranking Member

TED/KM:smm

Options Education Day
Friday, September 13, 2019
Chicago, Illinois
Invitee List

The following names on the list below are staff who work for members of Congress that currently serve on the House Financial Services Committee. The U.S. listed options markets are included under the jurisdiction and responsibilities of the House Financial Services Committee and the Options Education Day is designed to educate and inform those individuals below who work on issues and legislation that come before the Committee.

Kichelle Webster	Legislative Assistant	Office of Rep. Alma Adams (D-NC)
Will Binger	Legislative Assistant	Office of Rep. Cindy Axne (D-IA)
David Simons	Senior Legislative Assistant	Office of Rep. Andy Barr (R-KY)
Scott Farnin	Financial Services Counsel	Office of Rep. Joyce Beatty (D-OH)
Tyler Haymore	Senior Legislative Assistant	Office of Rep. Ted Budd (R-NC)
Calli Shapiro	Legislative Director	Office of Rep. Sean Casten (D-IL)
Darrell Doss	Legislative Assistant	Office of Rep. Wm. Clay (D-MO)
Christina Mahoney	Legislative Director	Office of Rep. Emanuel Cleaver (D-MO)
Ron Hammond	Legislative Assistant	Office of Rep. Warren Davidson (R-OH)
Colleen Carols	Legislative Director	Office of Rep. Madeleine Dean (D-PA)
Ryan McCormak	Legislative Director	Office of Rep. Sean Duffy (R-WI)
Landon Zinda	Legislative Director	Office of Rep. Tom Emmer (R-MN)
Diem-Mi Lu	Senior Policy Advisor	Office of Rep. Bill Foster (D-IL)
Andres Chovil	Legislative Assistant	Office of Rep. Tulsi Gabbard (D-HI)
Jordan Haedtler	Legislative Assistant	Office of Rep. Jesus "Chuy" Garcia (D-IL)
Pat Bond	Legislative Director	Office of Rep. Sylvia Garcia (D-TX)
Fred Castro	legislative Counsel	Office of Rep. Vicente Gonzalez (D-TX)
Stephen Hostelley	Legislative Director	Office of Rep. Anthony Gonzalez (R-OH)
Ryan Ethington	Legislative Director	Office of Rep. Lance Gooden (R-TX)
Josh Fendrick	Legislative Director	Office of Rep. Josh Gottheimer (D-NJ)
Brian Castro	Senior Counsel	Office of Rep. Al Green (D-TX)
Rina Wulsing	Legislative Director	Office of Rep. Dennis Heck (D-WA)
Ashley Gunn	Senior Advisor	Office of Rep. French Hill (R-AR)
Mark Snyder	Legislative Director	Office of Rep. James Himes (D-CT)
Allison Behuniak	Legislative Assistant	Office of Rep. Trey Hollingsworth (R-IN)
Marliss McManus	Deputy Chief of Staff	Office of Rep. Bill Huizenga (R-MI)
Tim Upsprung	Legislative Assistant	Office of Rep. Peter King (R-NY)
Andrew Hogin	Legislative Director	Office of Rep. David Kustoff (R-TN)
Margaret Franklin	Legislative Director	Office of Rep. Al Lawson (D-FL)
Colin Carr	Legislative Director	Office of Rep. Barry Loudermilk (R-GA)
Mitchell Wilkinson	Legislative Assistant	Office of Rep. Frank Lucas (R-OK)
Lucas West	Senior Policy Advisor	Office of Rep. Blaine Luetkemeyer (R-MO)
Kevin George	Senior Economic Advisor	Office of Rep. Stephen Lynch (D-MA)
Ben Harney	Senior Counsel	Office of Rep. Carolyn Maloney (D-NY)
Eric May	Legislative Director	Office of Rep. Ben McAdams (D-UT)
McArn Bennett	Counsel	Office of Rep. Patrick McHenry (R-NC)

Jamie McGinnis	Counsel	Office of Rep. Patrick McHenry (R-NC)
Stephane Lebouder	Legislative Director	Office of Rep. Gregory Meeks (D-NY)
Scott Rausch	Legislative Director	office of Rep. Alex Mooney (R-WV)
Claudia Pagon Marcher	Legislative Assistant	Office of Rep. Alexandria Ocasio-Cortez (D-NY)
Colin Anonsen	Legislative Assistant	Office of Rep. Ed Perlmutter (D-CO)
Imani Agustus	Legislative Director	Office of Rep. Dean Phillips (D-MN)
Kaylee Niemasik	Legislative Counsel	Office of Rep. Katherine Porter (D-CA)
Valentina Valenta	Legislative Director	Office of Rep. Bill Posey (R-FL)
Aissa Canchola	Legislative Director	Office of Rep. Ayanna Pressley (D-MA)
Borden Hoskins	Legislative Director	Office of Rep. Denver Riggleman (R-VA)
Conor Carney	Senior Legislative Asst.	Office of Rep. John Rose (R-TN)
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Rob Robilliard	Legislative Assistant	Office of Rep. Brad Sherman (D-CA)
David Goldfarb	Legislative Director	Office of Rep. Bryan Steil (R-WI)
Mark Gilbride	Deputy Legislative Dir.	Office of Rep. Steve Stivers (R-OH)
Evan Williams	Legislative Assistant	Office of Rep. Scott Tipton (R-CO)
Chastity Murphy	Legislative Assistant	Office of Rep. Rashida Tlaib (D-MI)
Scott Hinkle	Legislative Director	Office of Rep. Juan Vargas (D-CA)
Richard Erkel	Financial Services Coun.	Office of Rep. Nydia Velazquez (D-NY)
Zach Gates	Legislative Aide	Office of Rep. Ann Wagner (R-Mo)
Katelynn Bradley	Dir. Investor and Cap.	Office of Rep. Maxine Waters (D-CA)
David Fernandez	Counsel	Office of Rep. Maxine Waters (D-CA)
Mike Lucier	Legislative Director	Office of Rep. Jennifer Wexton (D-VA)
Ben Johnson	Legislative Assistant	office of Rep. Roger Wiliams (R-TX)
Kevin Dowling	Legislative Director	Office of Rep. Lee Zeldin
Sahara Defensor	Legislative Counsel	Office of Rep. Michael San Nicholas (D-GU)

Options Education Day
Friday, September 13, 2019
Chicago, Illinois
Invitee List

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Sahara Defensor	Legislative Counsel	Office of Rep. Michael San Nicholas (D-GU)

OCC THE FOUNDATION FOR SECURE MARKETS

Cboe Global Markets

Options Education Day
Working Agenda

Thursday, September 12, 2019

3:45 p.m. Option A: Depart for Chicago on United Airlines flight 3475

- *Arrive at Chicago O'Hare at 5:00 pm*
- *Transportation from Chicago O'Hare to Hotel is provided*
- *Arrive at Hyatt Centric Chicago Loop and proceed to check-in*

5:55 p.m. Option B: Depart for Chicago on United Airlines flight 238

- *Arrive at Chicago O'Hare at 7:00 pm*
- *Travel on your own to Hyatt Centric Chicago Loop*
- *Arrive at Hyatt Centric Chicago Loop and proceed to check-in*

Friday, September 13, 2019

8:00 a.m. Gather in Lobby of Hyatt Hotel

- *Please check out of hotel prior to gathering*
- *Depart en route to Options Clearing Corporation (OCC) at 125 South Franklin Street*

8:30 – 9:00 a.m. Networking Breakfast Hosted by OCC

- *Opportunity to meet and pose questions to presenters*

9:00 – 10:00 a.m. Introduction to Options and Clearing Overview

- *Location: OCC 12th Floor Boardroom*

Discussion Includes:

- Options 101
- Clearance and Settlement Overview

Speakers:

- Scot Warren, Executive Vice President and Chief Operating Officer (OCC)
- Denise Knabjian, Senior Vice President, Investor Education (OCC)
- Mark Benzaquen, Manager, Investor Services and Instructor at the Options Industry Council (OCC)
- Mike Hansen, First Vice President, Market Operations (OCC)

10:00 a.m. Depart for Cboe Global Markets at 400 South LaSalle Street

10:15 – 11:30 a.m. Tour of Trading Floor and Overview of Cboe Global Markets Presentation

Discussion Includes:

- The Role of Exchanges in the Options Industry
- Various Product Classes

Speakers:

- Angelo Evangelou, Chief Policy Maker (Cboe Global Markets)
- Jermal Chandler, Instructor at the Options Institute (Cboe Global Markets)

11:30 a.m. Depart for Chicago Trading Company (CTC) at 425 South Financial Place, 4th Floor

11:45a.m. – 12:15 p.m. Networking Lunch Break

- *Opportunity to meet and pose questions to presenters*

12:15 – 1:15 p.m. *Discussion Includes:*

- The Role of Market Makers in the Options Industry
- Impact of Bank Capital requirements on Market Makers

Speakers:

- Steve Crutchfield, Head of Market Structure & Electronic Trading Strategy (CTC)
- Mel Williams, Chief Legal Officer (CTC)

- Dan Feuser, Chief Executive Officer (CTC)

1:15 p.m.	Depart for TD Ameritrade at 600 West Chicago Avenue
1:45 - 2:45 p.m.	*Discussion Includes:* • The Role of Brokerages in the Options Industry • Retail Investors in Options *Speakers:* • Steve Quirk, Executive Vice President of Training and Education (TD Ameritrade) • Lorraine Gavican-Kerr, Managing Director, Investor Education and Content (TD Ameritrade) • JJ Kinahan, Managing Director, Trader Services and Chief Market Strategist (TD Ameritrade)
3:00 p.m.	Depart for Chicago O'Hare Airport
5:00 p.m.	Option A: Depart for Washington, DC on United Airlines flight 5824 • *Arrive at Washington, DC at 8:00 pm*
7:30 p.m.	Option B: Depart for Washington, DC on United Airlines flight 2029 • *Arrive at Washington, DC at 10:00 pm*

OCC THE FOUNDATION FOR SECURE MARKETS

Options Clearing Corporation
125 S. Franklin Street, Suite 1200
Chicago, IL 60606
312 322 6200 | theocc.com

Options Education Day
Working Agenda

Thursday, September 12, 2019

After Final Votes — Depart for Chicago

- *Arrive at Chicago O'Hare Airport*

7:00 p.m. — Arrive Hotel and Proceed to Check-In

- *Location: Hyatt Centric Chicago Loop*

Friday, September 13, 2019

8:00 a.m. — Gather in Lobby of Hyatt Hotel

- *Please check out of hotel prior to gathering*
- *Depart en route to Options Clearing Corporation (OCC) at 125 South Franklin Street*

8:30 – 9:00 a.m. — Networking Breakfast Hosted by OCC

9:00 – 10:00 a.m. — Introduction to Options and Clearing Overview

- *Location: OCC 12th Floor Boardroom*

Discussion Includes:
- Options 101
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Discussion Includes:
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11:45a.m. – 12:15 p.m.	Networking Break • *NOTE: Lunch will be provided*
12:15 – 1:15 p.m.	*Discussion Includes:* • The Role of Market Makers in the Options Industry • Impact of Bank Capital requirements on Market Makers
1:15 p.m.	Depart for TD Ameritrade at 600 West Chicago Avenue
1:45 - 2:45 p.m.	*Discussion Includes:* • The Role of Brokerages in the Options Industry • Retail Investors in Options
3:00 p.m.	Depart for Chicago O'Hare Airport
5:00 p.m.	Depart for Washington, DC

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