

# 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 by email at [gifttravelreports@mail.house.gov](mailto:gifttravelreports@mail.house.gov), 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: Aaron Groce
2. a. Name of Accompanying Relative: \_\_\_\_\_ **OR**  None  
b. Relationship to Traveler:  Spouse  Child  Other (specify): \_\_\_\_\_
3. a. Dates: Departure: 6/29 Return: 6/30  
b. Dates at Personal Expense, if any: \_\_\_\_\_ **OR**  None
4. Departure City: Washington, DC Destination: Chicago, IL Return City: Washington, DC
5. Sponsor(s), Who Paid for the Trip: Options Clearing Corporation and Cboe Global Markets
6. Describe Meetings and Events Attended: We began with a morning meeting at OCC and discussed the background of options clearing, their regulatory structure, and current challenges.  
We then went to Cboe for a tour of their trading floor and to discuss legislative challenges in the equity options field. We ended with a lunch discussion on House Financial Services Committee Activity.
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 *Additional Sponsor Form(s)*;
  - 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: I did not accept any flights. Only one night of lodging. I was already in town for official work with my member. The tastyrade meeting was cancelled due to flight cancellations of all other trip attendees.

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

Signature of Traveler:  Date: 8/1/2023

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: Sean Casten Date: 8/1/2023

Signature of Supervising Member: 

# 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 by email at [gifttravelreports@mail.house.gov](mailto:gifttravelreports@mail.house.gov), 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: Aaron Groce OR  None
2. a. Name of Accompanying Relative: \_\_\_\_\_  
 b. Relationship to Traveler:  Spouse  Child  Other (specify): \_\_\_\_\_
3. a. Dates: Departure: 6/29 Return: 6/30 OR  None  
 b. Dates at Personal Expense, if any: \_\_\_\_\_
4. Departure City: 6/29 Destination: 6/30 Return City: Washington, DC
5. Sponsor(s), Who Paid for the Trip: Options Clearing Corporation and Cboe Global Markets
6. Describe Meetings and Events Attended: \_\_\_\_\_  
We began with a morning meeting at OCC and discussed the background of options clearing, their regulatory structure, and current challenges.  
 We then went to Cboe for a tour of their trading floor and to discuss legislative challenges in the equity options field. We ended with a lunch discussion on House Financial Services committee activity.

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 *Additional Sponsor Form(s)*;
  - 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: The last trade meeting was cancelled due to flight cancellations of all other trip attendees. I flew in the day before for work and was already in Chicago.

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

Signature of Traveler:  Date: 7/24/23

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: Sean Casten Date: 7/24/23

Signature of Supervising Member:



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: OCC and Cboe Global Markets

2. Travel Destination(s): Chicago

3. Date of Departure: 6/29/23 Date of Return: 6/30/23

4. Name(s) of Traveler(s): Aaron Groce

*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	\$0.00	\$253.58 \$216.00 + 37.58 Tx	\$17.99	\$0.00
Accompanying Family Member				

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: 07/18/2023

Name: Ed Modla (OCC) / Angelo Evangelou (Cboe Global Markets) Title: Executive Director /

Organization: OCC (The Options Clearing Corporation) / Cboe Global Markets

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

Address: OCC 125 S. Franklin Street, Chicago, IL 60606 Cboe Global Markets 433 W. Van Buren, Chicago, IL 60607

Email: emodla@theocc.com AEvangelou@cboe.com Telephone: 817-562-3499 /

*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. **This form and any attachments may be 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: Aaron Groce

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. Sean Casten(IL=06)

Office Address: 2440 Rayburn House Office Building

Telephone Number: (202)225-4561

Email Address of Contact Person: Aaron.Groce@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 on Ethics at 202-225-7103 or via e-mail: [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: Aaron Groce

2. Sponsor(s) who will be paying or providing in-kind support for the trip:  
Options Clearing Corporation and Cboe Global Markets

3. City and State **OR** Foreign Country of Travel : Chicago, Illinois

4. a. Date of Departure: 06/29/2023 Date of Return: 06/30/2023

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

If yes, list dates at personal expense: \_\_\_\_\_

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

(1) Name of Accompanying Family Member: \_\_\_\_\_

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

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

6. a. Yes  No  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)?

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

I am not accepting transportation costs. I will only be accepting lodging.

7. Yes  No  *Primary Trip Sponsor Form* is attached, including agenda, invitee list, and any other attachments and Additional Sponsor Forms.

*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.**

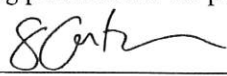
I am the Legislative Director to a Representative that sits on the House Financial Services Committee. The scope of the legislative and oversight work conducted on the committee, which includes US capital markets. is directly related to this trip.

9. Yes  No  **Is the traveler aware of any registered federal lobbyists or foreign agents involved planning, organizing, requesting, or arranging the trip?**

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 

Date 05/25/2023



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](http://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:
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):
5. Yes  No  Is travel being offered to an accompanying family member of the House invitee(s)?
6. Date of departure: \_\_\_\_\_ Date of return: \_\_\_\_\_
7. a. City of departure: \_\_\_\_\_  
b. Destination(s): \_\_\_\_\_  
c. City of return: \_\_\_\_\_
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; **OR**
  - b.  I checked 8(c) above but am not offering any lodging; **OR**
  - 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:
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 the 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: \_\_\_\_\_ City: \_\_\_\_\_ Cost Per Night: \_\_\_\_\_  
Reason(s) for Selecting: \_\_\_\_\_
- 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 the box.*



U.S. House of Representatives

# COMMITTEE ON ETHICS

### 18. Total Expenses for each Participant:

<input type="checkbox"/> Actual Amounts	Total Transportation Expenses per Participant	Total Lodging Expenses per Participant	Total Meal Expenses per Participant
<input type="checkbox"/> Good Faith Estimates			
For each Member, Officer, or Employee			
For each Accompanying Family Member			

	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		
For each Accompanying Family Member		

**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 by my signature that

- a. I read and understand the Committee's Travel Regulations;
- b. I am not a registered federal lobbyist or registered foreign agent; and
- c. The information on this form is true, complete, and correct to the best of my knowledge.

Signature:  Date: 4/4/23

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

## INSTRUCTIONS

Complete the *Primary Trip Sponsor Form* and submit the agenda, invitation list, any attachments, and any *Additional Trip Sponsor Forms* directly to the Travelers.

Written approval from the Committee on Ethics is required before traveling on this trip. The Committee on Ethics will notify the House invitees directly and will not notify the trip sponsors.

**Willful or knowing misrepresentation on this form may be subject to criminal prosecution under 18 U.S.C. § 1001. Signatures must comply with section 104(bb) of the Travel Regulations.**

**For questions, please contact the Committee on Ethics at:**

1015 Longworth House Office Building  
Washington, D.C. 20515

[ethicscommittee@mail.house.gov](mailto:ethicscommittee@mail.house.gov) | 202-225-7103  
More information and forms available at [ethics.house.gov](http://ethics.house.gov)

Michael Guest, Mississippi  
*Chairman*  
Susan Wild, Pennsylvania  
*Ranking Member*

David P. Joyce, Ohio  
John H. Rutherford, Florida  
Andrew R. Garbarino, New York  
Michelle Fischbach, Minnesota

Veronica Escobar, Texas  
Mark DeSaulnier, California  
Deborah K. Ross, North Carolina  
Glenn F. Ivey, Maryland



ONE HUNDRED EIGHTEENTH CONGRESS

**U.S. House of Representatives**

COMMITTEE ON ETHICS

Thomas A. Rust  
*Staff Director and Chief Counsel*

Keelie Broom  
*Counsel to the Chairman*

David Arrojo  
*Counsel to the Ranking Member*

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

June 16, 2023

Mr. Aaron Groce  
Office of the Honorable Sean Casten  
2440 Rayburn House Office Building  
Washington, DC 20515

Dear Mr. Groce:

Pursuant to House Rule 25, clause 5(d)(2), the Committee on Ethics hereby approves your proposed trip to Chicago, Illinois, scheduled for June 29 to 30, 2023, sponsored by Options Clearing Corporation and CBOE Global Markets. We remind you that, because the trip sponsor employs a federal lobbyist, you may participate in officially-connected activity on one calendar day only. We note that you are not accepting transportation expenses from the sponsor.

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 \$480 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,

Michael Guest  
Chairman

Susan Wild  
Ranking Member

MG/SW:mc

## Options Education Day

### Invitee List

June 29 & 30, 2023

*Chicago, Illinois*

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

Brooks Akin	Legislative Assistant	Office of Rep. Roger Williams (R-TX)
Warner Allison	Legislative Counsel	Office of Rep. William Timmons (R-SC)
Tucker Anderson	Senior Counsel	Office of Rep. Peter Sessions (R-TX)
Will Anderson	Staff Director	House Financial Services Committee
Lev Bagramian	Director, Capital Markets & Investor Protection Policy	House Financial Services Committee
Allison Behuniak	Staff Director	House Financial Services Committee
McArn Bennett	Senior Counsel	House Financial Services Committee
Curt Bliamptis	Legislative Director	Office of Rep. Michael Flood (R-NE)
Kyle Bligen	Policy Adviser	Office of Rep. Juan Vargas (D-CA)
Blayne Callas	Legislative Assistant	Office of Rep. Alexander Mooney (R-WV)
Alex Cisneros	Legislative Director	Office of Rep. Young Kim (R-CA)
Raphael Cohen-Fuentes	Senior Legislative Assistant	Office of Rep. Al Green (D-TX)
Graham Conlan	Legislative Counsel	Office of Rep. John Rose (R-TN)
Sierra DeSousa	Financial Services Counsel	Office of Rep. Joyce Beatty (D-OH)
Clara Diaz	Legislative Assistant	Office of Rep. Andrew Ogles (R-TN)
Sean Dillon	Senior Policy Adviser	Office of Rep. William Huizenga (R-MI)
Tyler Dunne	Legislative Assistant	Office of Rep. Zach Nunn (R-IA)
Mitch Erdel	Senior Policy Adviser	Office of Rep. Blaine Luetkemeyer (R-MO)
Rick Erkel	Deputy Chief of Staff	Office of Rep. Nydia Velazquez (D-NY)
Lizzy Fallon	Senior Policy Adviser	Office of Rep. Thomas Emmer (R-MN)
Chris Fernandez	Legislative Director	Office of Rep. Andrew Ogles (R-TN)
Adam Finkel	Deputy Chief of Staff/ Legislative Director	Office of Rep. Brittany Pettersen (D-CO)

Lily Fitzpatrick	Legislative Assistant	Office of Rep. Sylvia Garcia (D-TX)
Kevin Gannon	Legislative Director	Office of Rep. Andrew Garbarino (R-NY)
Zach Gates	Senior Legislative Assistant	Office of Rep. Ann Wagner (R-MO)
Johnny Gharib	Detaillee	House Financial Services Committee
Jacob Glasser	Senior Legislative Assistant	Office of Rep. George Nickel (D-NC)
David Goldfarb	Deputy Chief of Staff	Office of Rep. Bryan Steil (R-WI)
Aaron Groce	Legislative Director	Office of Rep. Sean Casten (D-IL)
Megan Guiltinan	Financial Services Policy Adviser	Office of Rep. Andy Barr (R-KY)
Ashley Gutwein	Legislative Director/Senior Counsel	Office of Rep. Zach Nunn (R-IA)
Megan Hannigan	Legislative Director	Office of Rep. Gregory Meeks (D-NY)
Tim Hite	Financial Services Counsel	Office of Rep. Warren Davidson (R-OH)
Cody Hollerich	Senior Legislative Assistant	Office of Rep. Josh Gottheimer (D-NJ)
Christofer Horta	Legislative Director	Office of Rep. David Scott (D-GA)
Jae Jang	Senior Policy Adviser	Office of Rep. James Hill (R-AR)
Devina Khanna	Senior Adviser, Economic Policy	Office of Rep. Stephen Lynch (D-MA)
Rachel Kline	Deputy Chief of Staff/ Legislative Director	Office of Rep. George Nickel (D-NC)
Nick Larsen	Legislative Assistant	Office of Rep. James Himes (D-CT)
Michael Lucia	Counsel	House Financial Services Committee
Sam Luna	Legislative Correspondent	Office of Rep. Monica De La Cruz (R-TX)
Don MacDonald	Chief of Staff	Office of Rep. Bradley Sherman (D-CA)
James McNamee	Legislative Director	Office of Rep. Michael Lawler (R-NY)
Darcy Merline	Senior Legislative Assistant	Office of Rep. Ralph Norman (R-SC)
Chandler Mills	Legislative Director	Office of Rep. Vicente Gonzalez (D-TX)
Sam Millwood	Legislative Assistant	Office of Rep. Barry Loudermilk (R-GA)
Doug Nation	Deputy Chief of Staff/ Legislative Director	Office of Rep. Patrick McHenry (R-NC)
Alex Ndikum	Deputy Chief of Staff	Office of Rep. Emanuel Cleaver (D-MO)
Larissa Richardson	Chief of Staff	Office of Rep. Rashida Tlaib (D-MI)
Cros Saint	Legislative Aide	Office of Rep. Steven Horsford (D-NV)
Kathleen Sengstock	Senior Legislative Assistant	Office of Rep. Maxine Waters (D-CA)
Aneeb Sheikh	Legislative Assistant	Office of Rep. Ayanna Pressley (D-MA)
Will Smethers	Legislative Director	Office of Rep. Daniel Meuser (R-PA)
Alex Smith	Legislative Director	Office of Rep. Byron Donalds (R-FL)
Liam Tuveson	Legislative Assistant	Office of Rep. Erin Houchin (R-IN)
Valentina Valenta	Legislative Director	Office of Rep. William Posey (R-FL)
Rob Wagener	Legislative Director	Office of Rep. Scott Fitzgerald (R-WI)

Tim Weiler	Economic Policy Adviser/ Legislative Counsel	Office of Rep. Bill Foster (D-IL)
Mitchell Wilkinson	Legislative Director	Office of Rep. Frank Lucas (R-OK)
Kayla Williams	Chief of Staff	Office of Rep. Gregory Meeks (D-NY)
Jess Wysocky	Legislative Assistant	Office of Rep. Nikema Williams (D-GA)
Anna Zimmerman	Legislative Assistant/Counsel	Office of Rep. Ritchie Torres (D-NY)



**THE FOUNDATION  
FOR SECURE  
MARKETS**



## **Options Education Day Working Agenda**

Thursday, June 29, 2023

- 8:00 a.m.** Depart for Chicago on United Airlines Flight 2003
- *Arrive at Chicago O'Hare Airport at 9:45 am*
- 10:00 a.m.** Transportation from Chicago O'Hare Airport to Options Clearing Corporation (OCC) at 125 South Franklin Street, Chicago, IL
- 11:00 a.m.** Arrive at OCC
- 11:15 – 12:00 p.m.** Introduction to Options and Clearing Overview
- Discussion Includes:*
- Options 101
  - Clearance and Settlement Overview
- Speakers:*
- Dan Busby, Chief Operating Officer (OCC)
  - Ed Modla, Executive Director, Investor Education (OCC)
  - Mark Benzaquen, Principal, Investor Education (OCC) and Instructor at The Options Industry Council (OIC)
  - Mike Hansen, Managing Director, Market Operations (OCC)
- 12:00 – 12:30 p.m.** Networking Lunch Hosted by OCC
- *Opportunity to meet and pose questions to presenters*

- 12:30 p.m.** Depart for Cboe Global Markets at Old Chicago Post Office Building, 433 West Van Buren Street, Chicago, IL
- 12:45 – 1:30 p.m.** Overview of Cboe Global Markets Presentation
- Discussion Includes:*
- The Role of Exchanges in the Options Industry
  - Various Product Classes
- Speakers:*
- Angelo Evangelou, Chief Policy Officer (Cboe Global Markets)
  - Gina DeRaimo, Instructor at the Options Institute (Cboe Global Markets)
- 1:30 p.m.** Depart for Cboe Options Trading Floor at Chicago Board of Trade Building, 141 West Jackson Boulevard, Chicago, IL
- 1:45 – 2:15 p.m.** Tour of Cboe Options Trading Floor
- 2:15 p.m.** Depart for Chicago Trading Company (CTC) at 425 South Financial Place, 4<sup>th</sup> Floor, Chicago, IL
- 2:30 – 3:15 p.m.**
- Discussion Includes:*
- The Role of Market Makers in the Options Industry
  - Options Market Structure in 2023
- Speakers:*
- Eric Chern, Co-Founder (CTC)
  - Steve Crutchfield, Head of Market Structure & Electronic Trading Strategy (CTC)
- 3:15 – 3:30 p.m.** Networking Break
- *Opportunity to meet and pose questions to presenters*
- 3:45 p.m.** Depart for tastytrade at 1330 West Fulton Market, Chicago, IL
- 4:00 - 4:45 p.m.**
- Discussion Includes:*
- The Role of Brokerages in the Options Industry
  - Retail Investors in Options
- Speakers:*
- JJ Kinahan, CEO, IG North America (tastytrade)

**5:00 p.m.** Depart for The Allegro Royal Sonesta Hotel, 171 West Randolph Street, Chicago, IL

**5:30 p.m.** Arrive at Royal Sonesta Allegro and proceed to check-in

**6:00 p.m.** Dinner on your own

Friday, June 30, 2023

**6:30 a.m.** Check-out of hotel and meet in lobby for transportation to Chicago O'Hare Airport

**9:00 a.m.** Depart for Washington, DC on United Airlines Flight 5677

- *Arrive at Washington, DC at 12:03 pm*