

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, 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: Griffin Wong
2. a. Name of Accompanying Relative: _____ **OR** None
b. Relationship to Traveler: Spouse Child Other (specify): _____
3. a. Dates: Departure: August 28, 2023 Return: September 1, 2023
b. Dates at Personal Expense, if any: _____ **OR** None
4. Departure City: Washington, DC (IAD) Destination: London, UK Return City: Washington, DC (IAD)
5. Sponsor(s), Who Paid for the Trip: Employee Ownership Foundation and Center on Business and Poverty
6. Describe Meetings and Events Attended: None, see question #8

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 contracted COVID-19 prior to the start of activities and was unable to participate virtually while isolating in my accommodations.
Because of my inability to travel across the city, I booked my own accommodations (for reimbursement) at the Queens Park Hotel.

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

Signature of Traveler:  Date: 9/14/23

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: Dean Phillips Date: 9/15/23

Signature of Supervising Member: 

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 in 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 or provided in-kind support for the trip: Employee Ownership Foundation; Center on Business and Poverty

2. Travel Destination(s): London; Oxford, UK

3. Date of Departure: 8/28/2023 Date of Return: 9/01/2023

4. Name(s) of Traveler(s): Griffin Wong

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	636.39	405.20	33.21	0
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:  Date: 9/15/2023

Name: James J. Bonham Title: President

Organization: Employee Ownership Foundation

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

Address: 250 Massachusetts Ave, NW Suite 410 Washington, DC 20001

Telephone: 202-441-7728 Email: jbonham@esopassociati

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.

COMMITTEE ON ETHICS

TRAVELER FORM

1. Name of Traveler: Griffin Wong
2. Sponsor(s) who will be paying or providing in-kind support for the trip: Employee Ownership Foundation
3. City and State **OR** Foreign Country of Travel: United Kingdom
4. a. Date of Departure: August 28, 2023 Date of Return: September 1, 2023
b. Yes No Will you be extending the trip at your personal expense?
If yes, list dates at personal expense: Only accepting return transportation
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:

7. Yes No *Primary Trip Sponsor Form* is attached, including agenda, invitation, 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.**
As a legislative assistant, I lead Rep. Phillips' work on employee ownership issues. Rep. Phillips is a leader in Congress on the issue, having led legislation like H.R. 3383 and H.R. 9346 in the 117th Congress. Learning from experts in the field will help spark ideas for future consideration.

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: 7/25/23

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's website (ethics.house.gov) provides detailed instructions for filling out the form. The Committee will notify the House invitees directly of its decision and will not notify the trip sponsors.

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. Signatures must comply with section 104(bb) of the Travel Regulations.

1. Sponsor who will be paying for the trip:

Employee Ownership Foundation

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, services, or in-kind assistance 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: Center on Business and Poverty

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): Griffin Wong, Office of Rep Dean Phillips.

Mr. Wong manages issues related to employee ownership for Mr. Phillips, a leader on these issues in the House.

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

6. Date of Departure: August 28, 2023 Date of Return: September 1, 2023

7. a. City of departure: Washington, DC

b. Destination(s): Oxford, UK

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; **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. _____

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 the statement is true by clicking the 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:

See Attachment B

13. **Answer parts a and b. Answer part c if necessary:**

- a. Mode of travel: Air Rail Bus Car Other (specify: _____)
- b. Class of travel: Coach Business First Charter Other (specify: _____)
- c. If travel will be first class, or by chartered or private aircraft, explain why such travel is warranted:

14. I represent that the expenditures related to local area travel during the trip will be unrelated to personal or recreational activities of the invitee(s). *Signify that the statement is true by checking box.*

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

- a. The trip involves an event that is arranged or organized *without regard* to congressional participation and that meals provided to congressional participants are similar to those provided to or purchased by other event attendees; **OR**
- b. The trip involves events that are arranged specifically *with regard* to congressional participation. If "b" is checked:

1) Detail the cost *per day* of meals (approximate cost may be provided): _____

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

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

Hotel Name: Hilton London Bridge City: London, UK Cost Per Night: \$400

Reason(s) for Selecting: Proximity to Meeting

Hotel Name: Christ Church College Dorms City: Oxford, UK Cost Per Night: \$300

Reason(s) for Selecting: College is part of Oxford University where the Symposium is held

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.*

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	\$1700	\$1300	\$430
For each Accompanying Family Member	N/A	N/A	N/A

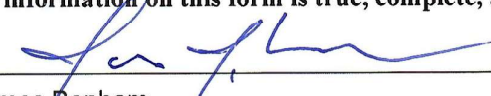
	Other Expenses (dollar amount per item)	Identify Specific Nature of "Other" Expenses (e.g., taxi, parking, registration fee, etc.)
For each Member, Officer, or Employee	\$125	COVID Test
For each Accompanying Family Member	N/A	N/A

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: 8/23/2023
 Name: James Bonham Title: President
 Organization: Employee Ownership Foundation
 Address: 200 Massachusetts Ave., NW Suite 410 Washington, DC 20002
 Email: jbonham@esopassocaition.org Telephone: 202-293-2970

If there are questions regarding this form, please contact the Committee on Ethics at 202-225-7103 or travel.requests@mail.house.gov.

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's website (ethics.house.gov) provides detailed instructions for filling out the form. The Committee will notify the House invitees directly of its decision and will not notify the trip sponsors.

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. Signatures must comply with section 104(bb) of the Travel Regulations.

1. Sponsor who will be paying for the trip:

Center on Business and Poverty

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, services, or in-kind assistance 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: The Employee Ownership Foundation

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): Griffin Wong, Office of Rep Dean Phillips.
Mr. Wong manages issues related to employee ownership for Mr. Phillips, a leader on these issues in the House.

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

6. Date of Departure: August 28, 2023 Date of Return: September 1, 2023

7. a. City of departure: Washington, DC

b. Destination(s): London; Oxford, UK

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; **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. _____
-

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 the statement is true by clicking the 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:
See Attachment B _____
-

13. **Answer parts a and b. Answer part c if necessary:**
- a. Mode of travel: Air Rail Bus Car Other (specify: _____)
 - b. Class of travel: Coach Business First Charter Other (specify: _____)
 - c. If travel will be first class, or by chartered or private aircraft, explain why such travel is warranted:

-

14. I represent that the expenditures related to local area travel during the trip will be unrelated to personal or recreational activities of the invitee(s). *Signify that the statement is true by checking box.*

15. **Check only one.** I represent that either:
- a. The trip involves an event that is arranged or organized *without regard* to congressional participation and that meals provided to congressional participants are similar to those provided to or purchased by other event attendees; **OR**
 - b. The trip involves events that are arranged specifically *with regard* to congressional participation. If "b" is checked:
 - 1) Detail the cost *per day* of meals (approximate cost may be provided): _____
 - 2) Provide the reason for selecting the location of the event or trip: _____
-

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

Hotel Name: <u>Hilton London Bridge</u>	City: <u>London, UK</u>	Cost Per Night: <u>\$400</u>	
Reason(s) for Selecting: <u>Proximity to Meeting</u>			
Hotel Name: <u>Christ Church College Dorms</u>	City: <u>Oxford, UK</u>	Cost Per Night: <u>\$300</u>	
Reason(s) for Selecting: <u>College is part of Oxford University where the Symposium is held</u>			
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.*

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	\$1700	\$1300	\$430
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	\$125	COVID Test
For each Accompanying Family Member	N/A	N/A

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: John Hoffmire Digitally signed by John Hoffmire
Date: 2023.08.24 12:06:52 +01'00' Date: 8/23/2023

Name: John Hoffmire Title: Director

Organization: Center on Business and Poverty

Address: 2118 Southern Preserve Lane, Franklin, TN 37064

Email: hoffmire@wisc.edu Telephone: 401-524-4093

If there are questions regarding this form, please contact the Committee on Ethics at 202-225-7103 or travel.requests@mail.house.gov.

ATTACHMENT B – Sponsor Interest and Role

Employee Ownership Foundation

The Employee Ownership Foundation has a three-decade long history of funding academic and practitioner gatherings and exploration related to employee ownership and the expansion of employee ownership. The Oxford Symposium on Employee Ownership is designed to convene thought leaders, practitioners, and policymakers to engage in international idea exchange focused on reducing barriers and improving access to employee equity share arrangements in business. By providing funding to allow Congressional staff with jurisdictional or oversight responsibilities for employee equity plans to attend and participate in the symposium, the Foundation's mission of education and advancement of employee ownership in the United States will be advanced.

The EOF is providing financial, logistical, and presenter recruitment support for the symposium as well as providing direct expertise on the subject.

Center on Business and Poverty

The Center on Business and Poverty is engaged in promoting participatory capitalism throughout the global economy with an emphasis on the UK and the U.S. The Center promotes academic gatherings and leadership on participatory capitalism and has a mission to build worker equity and wealth through shared business equity plans. The Symposium is seeking to tackle some of the most fundamental academic and policy issues confronting the rate of growth for such equity plans – the common elements of various models of employee ownership and rationalizing their differences to allow for international growth.

The Center provides on-site logistical, planning, and presenter recruitment support for the symposium as well as providing direct expertise on the subject.

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

August 28, 2023

Mr. Griffin Wong
Office of the Honorable Dean Phillips
2452 Rayburn House Office Building
Washington, DC 20515

Dear Mr. Wong:

Pursuant to House Rule 25, clause 5(d)(2), the Committee on Ethics hereby approves your proposed trip to United Kingdom,¹ scheduled for August 28 to September 1, 2023, sponsored by Employee Ownership Foundation and the Center on Business and Poverty. We note that you are not accepting outbound transportation from the trip 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.

Because the trip may involve meetings with foreign government representatives, we note that House employees may accept, under the Foreign Gifts and Decorations Act (FGDA), gifts "of minimal value, currently \$480, tendered as a souvenir or mark of courtesy" by a foreign government. Any tangible gifts valued in excess of minimal value received from a foreign government must, within 60 days of acceptance, be disclosed on a Form for Disclosing Gifts from Foreign Governments and either turned over to the Clerk of the House, or, with the written approval of the Committee, retained for official use.

¹ Please be aware that the Committee's review of the proposed trip does not extend to either the security situation in the destination country or security related to foreign travel in general. We recommend you contact the Office of House Security (OHS) for a safety and security briefing prior to your departure. OHS may be reached at (202) 226-2044 or ohsstaff@mail.house.gov. House travelers should also register for the U.S. State Department's Smart Traveler Enrollment Program at <https://step.state.gov>.

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

Sincerely,

Handwritten signature of Michael Guest in blue ink.

Michael Guest
Chairman

Handwritten signature of Susan Wild in blue ink.

Susan Wild
Ranking Member

MG/SW:kjf

Itinerary

The Oxford Symposium on Employee Ownership 2023

Monday 28 August 2023

Travel Day for Participants

Unstructured	Individual travel itineraries to London, UK as determined by participant.
6:00 – 8:00 pm	Welcome and Overview Dinner, Hilton London Tower Bridge Welcome group dinner and overview of symposium, speakers, logistical details and topics to be covered. Led by James (Jim) Bonham, Employee Ownership Foundation.

Tuesday 29 August 2023

Government Official Preparatory Briefing Day. Fieldfisher Offices, Seminar Room, 9th Floor, Riverbank House, 2 Swan Lane, London, EC4R 3TT

7:30 – 8:00	Ground Transport from Hilton Tower Bridge to Fieldfisher Offices
8:00 – 8:15	Registration (9th floor) and welcome from Fieldfisher Managing Partner, Rob Shooter
8:15 – 9:00	Introductions by James (Jim) Bonham, President, Employee Ownership Foundation and Graeme Nuttall, Partner, Fieldfisher including the roles of delegates and overview of relevant terminology, conference history and purpose, goal setting, and outcomes.
9:00 – 9:30	Presentation by Cindy Turcot, former Chief Executive Officer and President of Gardener's Supply Company on Gardener's Supply Company 's 100% employee stock ownership plan and the positive difference employee ownership makes to its business, employees and communities in which it operates
9:30 – 10:30	Presentation by Ken Serwinski, Chairman and co-Founder of Prairie Capital Advisors, on the legal, tax and financing aspects of the USA's employee stock ownership plan and other employee share ownership plans in private companies
10:30-10:45	Break
10:45-12:00	Mark Gearing, Partner and Jessica Kilkelly, Associate, Fieldfisher presentations on the legal and tax aspects of the UK's tax advantaged and other employee share and share option plans and on employee trusts including the employee ownership trust
12:00-13:00	Presentation by Nigel Goode, Co-Founder and Director, Kirsty Dias, Managing Director and Chris Gregory, Senior Designer of PriestmanGoode, leader in aviation, transport, product & environment design, on their company's 100% employee ownership trust model of employee ownership and the positive difference employee ownership makes to its business, employees and the areas in which it operates

13:00 – 14:30	<p>Working lunch facilitated by David Wilkinson, Fieldfisher Senior Partner including talks by:</p> <p>Deputy High Court Judge Nicholas Thompsell, Partner, Fieldfisher on how the UK's legal system supports experiments in employee ownership models</p> <p>David Gallagher, Partner, Fieldfisher on the continued strong separation of UK pensions law from employee share ownership and employee ownership</p> <p>Nicholas Thorpe, Partner, Fieldfisher on the relatively few UK employment law disputes relating to employee share ownership and employee ownership</p> <p>George Gillham, Partner, Fieldfisher on the continued success of HM Revenue & Customs in counteracting tax avoidance schemes that seek to reduce profits, disguise income and provide tax free or tax reduced rewards to their employees, and</p> <p>Neil Palmer, Partner, Fieldfisher on how changing a company to employee control can have significant regulatory and commercial implications</p>
14:30-14:45	Break
14:45-15:15	<p>Jone Nolte, General Manager of ASLE presentation on the legal and tax aspects and use in practice of the Spanish Sociedades Laborales model of majority direct employee ownership</p> <p>Igor Feketija, the State Secretary, Ministry of Labour, Family, Social Affairs and Equal Opportunities, the Republic of Slovenia, statement on the Slovenian "ESOP" model of employee ownership, an indirect ownership model, and proposed legislation to support it.</p>
15:15-15:30	Concluding comments from Graeme Nuttall, Partner, Fieldfisher
15:30-15:45	Depart and board ground Transport to Oxford
15:45-17:15	Ground Transport (Motor Coach) to Oxford, Arrival at Christ Church College, OX1 4BE Oxfordshire, UK

Wednesday 30 August 2023

Symposium Day 1 - Examination School, Oxford University

8:30 – 9:30	Registration (Coffee, Tea, and Pastries)
9.30 – 10:00	<p>Symposium Convening</p> <p>Welcome to Oxford and discussion of the importance of the Symposium, its goals, and purpose in a global context of public policy, non-governmental organisations and the private economy:</p> <p>Jonathan Michie, Pro-Vice-Chancellor, University of Oxford, President of Kellogg College and Director of the University of Oxford's Centre for Mutual and Co-owned Businesses</p> <p>James (Jim) Bonham, President, Employee Ownership Foundation</p>

10:00 -11:00	<p>Talk on The Building Blocks of Good Employee Ownership</p> <p>An exploration of the essential elements necessary for employee ownership to take root and flourish:</p> <p style="text-align: center;">Graeme Nuttall, Partner, Fieldfisher LLP</p>
11:00 – 11:20	<p>Break (Coffee, Tea and Pastries)</p>
11:20 -12:30	<p>Panel on The Best Uses of Profits in 100% Employee-Owned Companies</p> <p>Without external shareholders, what opportunities and obligations are there regarding the use of a company's profits, after providing for working capital and maintaining reserves? The panel will discuss different perspectives and priorities especially regarding profit-sharing among employees.</p> <p style="text-align: center;">Daniel Goldstein, President and Chief Executive Officer, Folience, a highly diversified company owned 100% by an employee stock ownership plan</p> <p style="text-align: center;">A speaker from John Lewis Partnership the well-known UK 100% employee trust owned company [<i>Invited</i>]</p> <p style="text-align: center;">Tej Gonza, Director, Inštitut za Ekonomsko Demokracijo, the Slovenian Institute for Economic Democracy</p>
12:30-14:00	<p>Working lunch with presentation and discussion on Ensuring Employee Ownership Rules Can Apply Internationally</p> <p>Many employee-owned companies have employees in more than one country. Each speaker will outline what can be done to reduce the obstacles to extending employee ownership models beyond a company's home jurisdiction.</p> <p style="text-align: center;">Jon Shell, Managing Director, Social Capital Partners</p> <p style="text-align: center;">Barbara Wight , Chief Financial Officer, Taylor Guitars, a company operating internationally and owned 100% by an employee stock ownership plan [<i>Invited</i>]</p>
14:00-15:10	<p>Panel on The Importance of Government-Supported Regional Employee Ownership Centres</p> <p>A growing number of Government-supported regional and municipal centres promote employee ownership in the U.S.A. and U.K. The panel will examine what their vital contribution is to promoting employee ownership.</p> <p style="text-align: center;">Cindy Turcot, Founding Board Member, Vermont Center for Employee Ownership</p> <p style="text-align: center;">James de le Vingne, Chief Executive Officer, UK Employee Ownership Association</p>

15:10 – 15:30	Break (Coffee, Tea and Pastries)																		
15:30 - 16:30	<p>Panel of UK politicians on U.K. All-Party Support for Employee Ownership and Why This Is Important</p> <p>Since 1978 successive UK Governments have supported employee ownership and employee share ownership through regulatory measures. We will hear from UK politicians across the political spectrum as to what it is about employee ownership that generates this all-party support.</p> <p style="text-align: center;">Conservative Member of Parliament <i>[INVITED]</i></p> <p style="text-align: center;">Labour Member of Parliament <i>[INVITED]</i></p> <p style="text-align: center;">Liberal Democrat Member of Parliament <i>[INVITED]</i></p>																		
16:30 – 17:00	Day One Review and Learnings by Graeme Nuttall, partner, Fieldfisher including contributions, interactive discussion, and questions from the floor																		
17:00 – 18:20	<p>Breakout Sessions by participant Type</p> <p>Room 6 will host a facilitated meeting of Government officials participating in the Symposium to share best practices, discuss obstacles and collaboration. Discussion of policy initiatives under way, and opportunity to generate cross-border dialogue.</p> <p>Room 7 will host an Around the World of Employee Ownership in 80 Minutes for brief histories of employee ownership in various countries chaired by Andrew Pendleton, Professor of Employee Ownership and Reward, University of New South Wales including:</p> <table border="1" style="margin-left: 40px;"> <tr> <td>Belgium</td> <td>Geoffroy Galéa, Partner, Fieldfisher Belgium</td> </tr> <tr> <td>Canada</td> <td>Jon Shell, Managing Director, Social Capital Partners</td> </tr> <tr> <td>France</td> <td>Nicolas Aubert, Professor, Aix Marseille Université</td> </tr> <tr> <td>Japan</td> <td>Atsushi (Art) Hosokawa, Japan Employee Ownership Association</td> </tr> <tr> <td>Scotland</td> <td>Carole Leslie, Director, Ownership Associates</td> </tr> <tr> <td>Slovenia</td> <td>Kosta Marco Juri, Researcher, Inštitut za Ekonomsko Demokracijo</td> </tr> <tr> <td>Spain</td> <td>Jone Nolte, General Manager, ASLE</td> </tr> <tr> <td>U.K.</td> <td>Andrew Pendleton,</td> </tr> <tr> <td>U.S.A.</td> <td>David Binns, Senior Consultant, ESOP Services</td> </tr> </table>	Belgium	Geoffroy Galéa, Partner, Fieldfisher Belgium	Canada	Jon Shell, Managing Director, Social Capital Partners	France	Nicolas Aubert, Professor, Aix Marseille Université	Japan	Atsushi (Art) Hosokawa, Japan Employee Ownership Association	Scotland	Carole Leslie, Director, Ownership Associates	Slovenia	Kosta Marco Juri, Researcher, Inštitut za Ekonomsko Demokracijo	Spain	Jone Nolte, General Manager, ASLE	U.K.	Andrew Pendleton,	U.S.A.	David Binns, Senior Consultant, ESOP Services
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6:20 – 6:30	Venue transfer to Divinity School (10 minutes walk)
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Divinity School

18:30 - 10:30	<p>Keynote Dinner</p> <p>Keynote Address on Generational Wealth Transfer, Privately Held Businesses, and the Global Opportunity for Equity</p> <p>Isabella (Isabel) Casillas Guzman, 27th Administrator, U.S. Small Business Administration <i>[INVITED]</i></p>
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Thursday 31 August 2023

Examination Schools, Oxford University

8:30 – 10:00	Registrations Coffee, Tea, and Pastries
10:00-10:20	<p>Opening Remarks, Review and application of learned concepts.</p> <p>James Bonham, President, Employee Ownership Foundation</p> <p>Campbell McDonald, Chief Executive, Ownership at Work</p>
10:20- 11:00	<p>Panel and contributions from the room on Regulatory Side Winds That Can Knock Employee Ownership Off Track and Why Every Government Should Have a Minister for Employee Ownership</p> <p>Distinctive features of the employee ownership business model mean it does not always fit neatly with other Government policies and special treatment may be needed. The panel will consider examples to illustrate and explore this issue and make the case for every country having a Minister for Employee Ownership to look after the employee ownership sector's interests.</p> <p>A speaker on the implications of the Organisation for Economic Co-operation and Development's Pillar Two model rules (for the implementation of a 15% global minimum tax) on companies 100% owned by an employee stock ownership plan</p> <p>A speaker on discrimination in UK National Health Service pay awards for employee-owned care providers</p>
11:00 – 11:15	Break (Coffee Tea and Pastries)

11:15- 12:15	<p>Factoring Employee Ownership into Certification Calculations for Environmental, Social and Governance (ESG) criteria.</p> <p>Why employee ownership represents the epitome of ESG goals yet <u>can be</u> penalized or ignored by those developing frameworks of recognition.</p> <p>Leslie Compton Kass, Chief Executive Officer, Lewis Tree Service, a 100% employee-owned company with most of its employees from minority groups</p> <p>Sean-Tamba Matthew, Attorney, SES ESOP Strategies, who is involved in an impact investing project that recognises the value of employee ownership [Invited]</p>
12:15-13:45	<p>Lunch including talks on Making it Easier To Buy a Controlling Employee Ownership Stake. Presentation on means of finance, shortfalls, and policy initiatives to resolve challenges in formation and operation of Employee Owned Companies.</p> <p>Harry Stein, Senior Economic Advisor, Office of U.S. Senator Chris Van Hollen on the U.S.A. Employee Equity Investment Act</p> <p>Regina Carls, Managing Director, ESOP Advisory Group Head, J.P. Morgan on financing employee stock ownership plans [Invited]</p>
13:45-14:15	<p>Senior politicians on Why Governments Support Employee Ownership</p> <p>The benefits of employee ownership are many and diverse. We will hear from senior politicians why they chose to support employee ownership, including:</p> <p>Vaughan Gething MS, Minister for Economy, Welsh Government (pre-recorded)</p> <p>Luca Mesec, Ministry of Finance, Slovenia</p>
14:15-14:30	<p>Break (Coffee Tea and Pastries)</p>
14:30-15:00	<p>Public Policy in the Context of Matured Employee Ownership: Life Cycles of the Ownership Model</p> <p>Employee ownership is not just a successful business succession solution. It is a long-term business model that works at every stage in the business life cycle. At each stage of the EO life cycle, businesses face distinct and predictable challenges as well as opportunities.</p> <p>James Bonham, President, Employee Ownership Foundation</p>

15:00-16:00	<p>Panel and contributions from the room on Designing The Perfect Employee Ownership Business Succession Solution</p> <p>There is a wide range of features to consider when designing an employee ownership model including ease of establishing and operating it, cost effectiveness and flexibility. This panel will identify and aim to prioritise the key features of the perfect employee ownership business succession solution.</p> <p>Carole Leslie, Director, Ownership Associates</p> <p>Mark Gearing, Partner, Fieldfisher</p>
16:00 – 16:20	Day Two Review by Graeme Nuttall, partner, Fieldfisher LLP including comments from the floor
16:20 – 16:30	Venue transfer to Sheldonian Theatre (10 minutes walk)

Sheldonian Theatre

16:30-8:00	<p>Closing Keynote Address on The Emerging Global Imperative</p> <p>Bernard (Bernie) Sanders, U.S. Senator <i>[INVITED]</i></p>
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Friday 1 September 2023

12:00 -13:30	Ground transportation Oxford to London Gatwick Airport.
15:00-18:20	Norse Atlantic Flight Z0740 London Gatwick to Washington Dulles

First	Last	Org/Committee
Johnny	Aisher	John Lewis Partnership
Sarah	Anderson	RM2 Partnership Ltd
Cheyenne	Arnold	The ESOP Association
Nicolas	Aubert	Aix Marseille University
Alexandria	Awunor	HM Treasury
Inigo	Balerdi	Disputacion Foral de Gipuzkoa
Camilla	Bellamy	CSH Surrey
Nesrin	Benhayoun	Bank of Africa- Operation Global Services
Anne	Berriman	HM Revenue & Customs
David	Binns	ESOP Services, Inc.
Sam	Blakeborough	Employee Ownership Association
Joseph	Blasi	Institute for the Study of Employee Ownership and Profit Sharing, Rutgers University
James	Bonham	The ESOP Association
Sam	Boustred	Scott Bader
Paul	Cantrill	Cwmpas
Regina	Carls	JP Morgan Chase
Steven	Chang	Senate Small Business Committee
Janet	Cooper	Nuture Landscapes Group
David	Craddock	David Craddock Consultancy Services
Jean-Philippe	Debas	Equalis Capital
James	de le Vingne	Employee Ownership Association
Glen	Dott	Scottish Enterprise
Igor	Feketija	Ministry of Labour, Family, Social Affairs and Equal Opportunities, Slovenia
David	Fitz-Gerald	Carris Reels, Inc.
Marie	Flynn	PwC/Irish Proshare Association
Geoffroy	Galea	Fieldfisher Belgium LLP
Mark	Gearing	Fieldfisher LLP
Harshu	Ghate	ESOP Direct
Erin	Gill	Arup
Daniel	Goldstein	Folience
Beatriz	Gonzalez	ASLE
Tej	Gonza	Institute for Economic Democracy
Luis	Hinojos	Senior Economic Advisor, US Senator Marco Rubio
Olivia Karen	Hocky Hansen	Danish Business Authority
John	Hoffmire	Center on Business and Poverty
Art	Hosokawa	Japan Employee Ownership Association
Alycia	Ikegami	Global Knowledge Initiative
Janet	Jones	Welsh Government
Husayn	Kassai	Quench.ai
Kosta	Marko Juri	Institute for Economic Democracy

Carole	Leslie	Ownership Associates UK
Tiara	Letourneau	Rewrite Capital
Kris	Ludwiniak	Forum Akcjonariatu Pracowniczego (FRAP)
Michael	Lynch	Flynn & Lynch - Life and Pensions
Catherine	Lynch	Flynn & Lynch - Life and Pensions
Smita	Mankad	Fabindia Limited, Mahindra Group
Nigel	Mapp	MAPP (Property Management) Ltd
Kristie	Mark	The ESOP Association
Tom	Martin	Fieldfisher LLP
Marc	Mathieu	European Federation of Employee Share Ownership
Campbell	McDonald	Ownership at Work
Alan	McGuinness	HM Revenue & Customs
Jonathan	Michie	University of Oxford, Kellogg College
Ana	Nacvalovaitė	Centre for Mutual and Co-Owned Business, Kellogg College, Oxford University
Tendani	Nelwamondo	Southern Africa Employee Ownership Association (SAEOA)
Pascale	Nieuwland-Jansen	Netherlands Participation Institute (SNPI)
Jone	Nolte	ASLE
Graeme	Nuttall	Fieldfisher LLP
Sara	Pearlman	LSE
Rick	Pearl	Faegre Drinker Biddle & Reath LLP
Patricia	Phillips	Cadence Innova
Richard	Phillips	Senate HELP Committee
Magnus Skovri	Pedersen	Demokratisk Erhverv
Andrew	Pendleton	University of New South Wales
Simon	Poole	Jerba Campervans
Paz	Quinteiro	En Terrano Social
Chris	Rowley	Centre for Mutual and Co-Owned Business, Kellogg College, Oxford University
Robert	Scallion	IAFP
Kenneth	Serwinski	Prairie Capital Advisors, Inc.
Jon	Shell	Social Capital Partners
Thomas	Steger	University of Regensburg
Cindy	Turcot	Gardener's Supply Company
Anja	Lamp Vrang	The Danish Business Authority
Juliet	Wigzell	Esop Centre
Griffin	Wong	Legislative Assistant, US Representative Dean Phillips
Kevin	Wong	Buddhist Tzu Chi Charity Foundation
Rodrigo	Zuloaga	Centro de Capital Incluyente