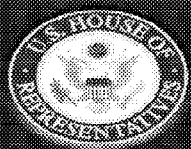


# **EXHIBIT 1**



*U.S. House of Representatives*

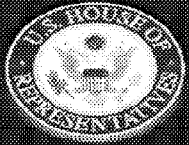
COMMITTEE ON ETHICS

# Training for Members on Ethics Laws, Rules, and Standards of Conduct

Presented by the  
Committee on Ethics  
U.S. House of Representatives

117<sup>th</sup> Congress

COE.OCEREQUEST.000230

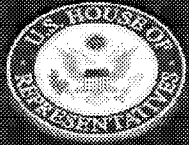


*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## The Ethics Committee and its Functions

- Constitutional Authority: Article I, Section 5 of the U.S. Constitution: “Each House may . . . Punish its Members for disorderly Behavior . . .”
- 10-Members of Congress on a bipartisan committee
- Non-partisan staff:
  - Advise and provide training and guidance on ethics laws, rules, and standards of conduct
    - Seeking advice insulates you from an investigation
    - We keep a record of all inquiries
  - Review Financial Disclosure filings (staff are available to perform prescreens)
  - Investigate possible violations by Members, officers, and employees
  - You can contact the Committee by phone, e-mail, mail, or by walking in person



*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Official Resources



COE.OCEREQUEST.000232

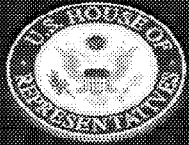


U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Resources

- Official resource is anything paid for with an appropriation (including your staff)
- No personal use of official resources (except *de minimus*)
- No use for campaign activity unless expressly permitted
  
- Official expenses or activities may only be paid from:
  - Appropriated funds (MRA);
  - Member's personal funds; or
  - Member's campaign funds (with certain limits)
- No private donations, funds, or in-kind goods or services are allowed in support of official House activities or expenses.



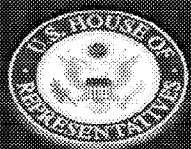
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Official Resources: Maintain A Bright Line

### Your Official Staff Cannot—

- Contribute to your campaign
- Do campaign work on official time or in official buildings
- Work for free (exceptions for interns, etc.)
- Use their personal funds for official purposes
- Give you gifts (including running personal errands)
- Be required or pressured to volunteer for anything, including your campaign
- Use official resources or position for their own personal benefit, or yours
- Take official actions that would create a conflict for you
- Represent others (unofficially) to the federal government



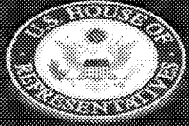
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Resources and Events

*An event can only ever be an official congressional event or an outside group's event*

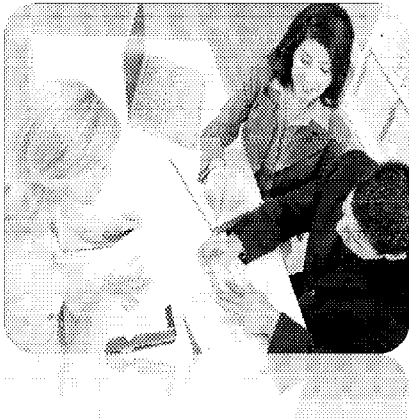
- **Cannot** co-sponsor an official congressional event with any outside group, including a non-profit
- **No** private subsidy for official congressional events
  - **But:** assistance from domestic governmental entities, including public universities is permitted
- No use of official resources for an event sponsored by an outside group
  - **But:** your name may sometimes be used in connection with an outside group's event
- **No** solicitation of an outside group to hold an event for you



U.S. House of Representatives

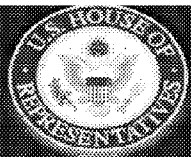
# COMMITTEE ON ETHICS

## General Casework



- Members have *broad* discretion in deciding whether and how to assist constituents
- *No* special treatment or “access” for supporters, contributors, or friends
- Avoid *ex parte* communications
- Communications between Members and constituents are considered *confidential*



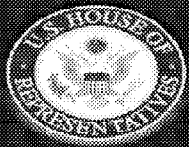


*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Sexual Harassment and Employment Discrimination

- House Rule 23, clause 9 prohibits discharging or refusing to hire an individual, or otherwise discriminating against an individual on the basis of race, color, religion, sex (including marital or parental status), sexual orientation, gender identity, disability, age, or national origin of such individual, including by committing an act of sexual harassment against such individual.
- House Rule 23, clause 18(a) prohibits Members from engaging in a sexual relationship with any employee of the House who works under the supervision of the Member, or who is an employee of a committee on which the Member, serves.
- House Rule 23, clause 18(b) prohibits Members from in unwelcome sexual advances or conduct towards another Member, Delegate, Resident Commissioner, officer, or employee of the House.



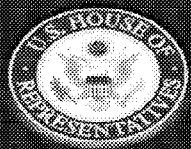
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Gifts



COE.OCEREQUEST.000238

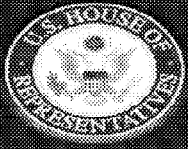


U.S. House of Representatives

COMMITTEE ON ETHICS

## Bribes and Illegal Gratuities

- You *may not* accept a gift that is offered in connection with an official action taken or asked to be taken
  - May be deemed a bribe or improper gratuity under federal criminal law (18 U.S.C. § 201)
  - Items of nominal value are allowed as thank you gifts (*e.g.*, flowers, baked goods, or decorative items)

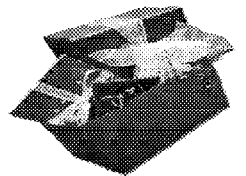


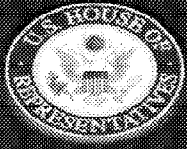
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Gifts

- A gift is almost anything of value, including a discount, tickets to a game, a cup of coffee, a gift card
- The gift rule is written in the negative—cannot accept a gift unless an exception permits acceptance
  - More than 20 exceptions—far fewer exceptions for gifts from federal registered lobbyists or foreign agents
- Before you accept a gift, ask yourself:
  - Can I accept the gift?
  - Do I need prior approval from the Ethics Committee?
  - Do I need to disclose or report the gift (*e.g.*, the Ethics Committee, Clerk, or an FD Statement, etc.)?
- Prior Ethics approval may be required, such as for gifts of personal friendship of more than \$250



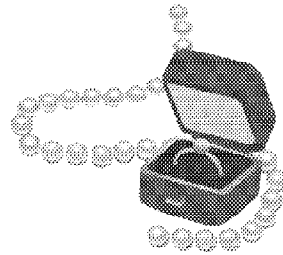


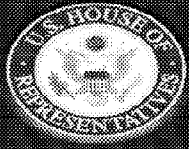
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Gifts

- Gifts from relatives
  - Includes fiancés and in-laws
- Gifts from personal friends
  - Must meet certain criteria
- Gifts from other Members and staff
  - Gifts from employees up the chain only on special occasions
- Gifts related to outside activities
  - May not be offered or enhanced due to House employment
- Gifts from federal, state, or local government
  - Includes public universities





U.S. House of Representatives

# COMMITTEE ON ETHICS

## Gifts from Foreign Governments

- Foreign Gifts and Decorations Act (FGDA) allows Members and staff to accept a gift of **\$415 or less** from a foreign government
- If the gift is worth more than \$415, you must turn the gift over to the Clerk within 60 days for disposal and file a disclosure form with the Ethics Committee
- With Committee permission, you may be able to retain the gift for official use

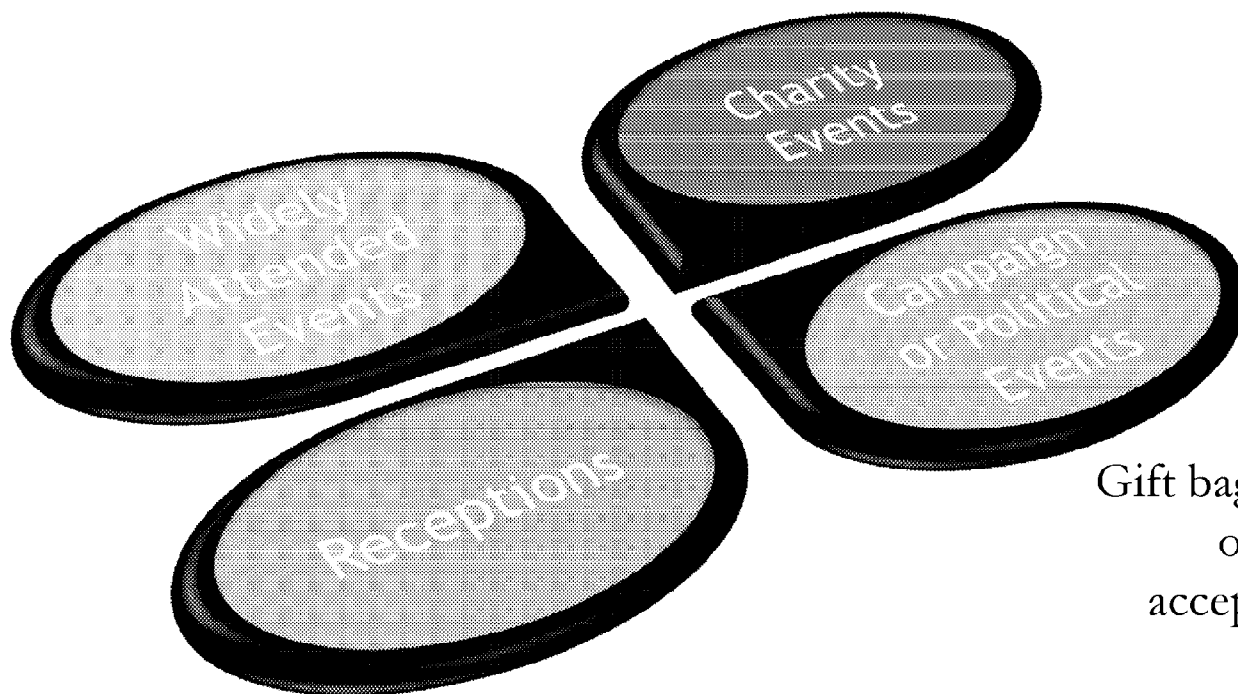


U.S. House of Representatives

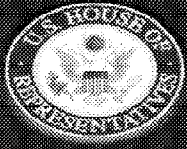
# COMMITTEE ON ETHICS

## Attendance at Events

“Free attendance” at certain types of events may be accepted under the rule:



Gift bags are permitted only if otherwise acceptable under the gift rule



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Widely Attended & Charity Events



### Widely Attended Events

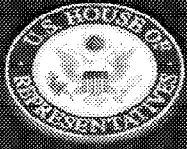
- Attendance connected to official duties
- Open to the public or at least 25 non-Hill attendees



### Charity Events

- Sponsored by a 501(c)(3) non-profit
- May accept free attendance only from the sponsor

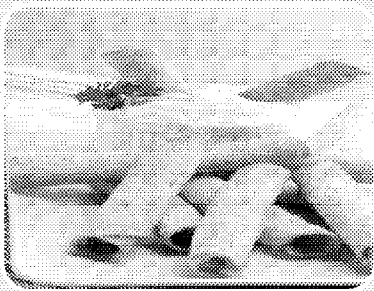




U.S. House of Representatives

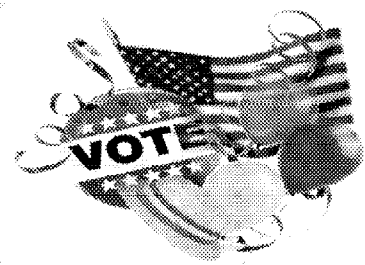
# COMMITTEE ON ETHICS

## Receptions & Campaign Events



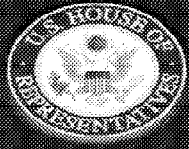
### Receptions

- Food or refreshments of a nominal value
- Cannot constitute a meal



### Campaign or Political Events

- Sponsored by a 527 organization
- Invitation must come directly from the 527



U.S. House of Representatives

# COMMITTEE ON ETHICS

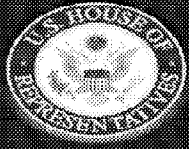
## Solicitations

▪ General prohibition *against* most solicitations (5 U.S.C. § 7353)

▪ Permissible charitable solicitations

- Must be in your personal capacity
- On your own time
- Not using official resources
- No solicitations of lobbyists or foreign agents
- No implied official endorsement
- No direct personal benefit to soliciting individual

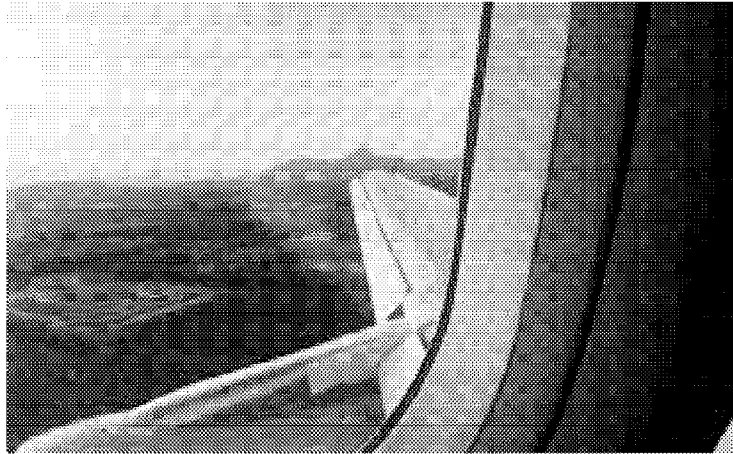




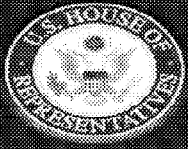
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Travel



COE.OCEREQUEST.000247



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Privately-sponsored Travel

- *Each* traveler must obtain prior, written approval from the Ethics Committee
- Request must be submitted at least *30 days* before start date of the trip



- There are significant restrictions on accepting travel expenses from private entities that *retain or employ* lobbyists or foreign



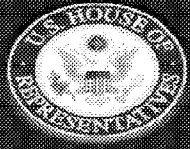
U.S. House of Representatives

COMMITTEE ON ETHICS

## Pre-Approval Exceptions

Committee pre-approval not required for travel paid for using:

- House funds (MRA or committee funds)
- Federal campaign funds, provided your travel is reported to the FEC
- U.S. federal, state, or local government funds
  - Public (state) university funds



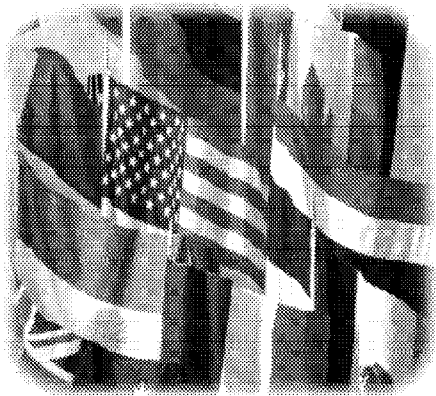
U.S. House of Representatives

# COMMITTEE ON ETHICS

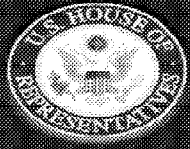
## Travel from Foreign Government

Special rules and disclosure requirements for travel funded by *foreign* governments:

- MECEA (Mutual Educational and Cultural Exchange Act)
- FGDA (Foreign Gifts and Decorations Act)
  - Committee pre-approval not required for either
  - FGDA travel must be reported to Committee on special form within 30 days



COE.OCEREQUEST.000250



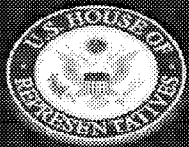
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Private Planes

- Significant restrictions on the use of campaign or personal funds to pay for flights on privately-owned aircraft
- Call the Ethics Committee before flying
- Prior Ethics approval may be required to accept a gift of private plane travel
- Disclosure may be required

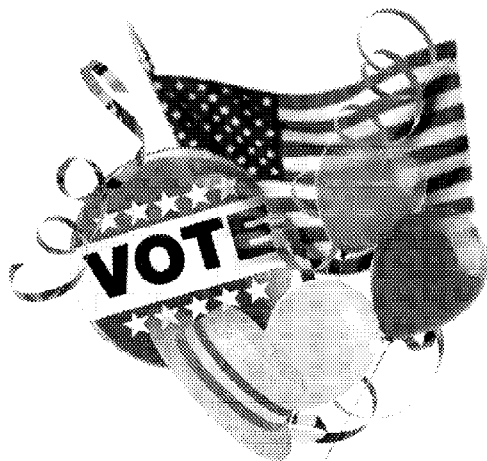




*U.S. House of Representatives*

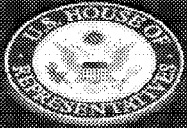
# COMMITTEE ON ETHICS

## Campaign Activity



COE.OCEREQUEST.000252





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# COMMITTEE ON ETHICS

## Campaign Activity

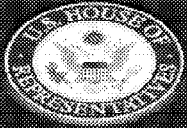


Same Rules  
apply to all  
Members and  
House staff

Rules apply in  
both election  
and  
non-election  
years

Rules generally  
apply to *any*  
campaign  
(Presidential,  
House, local,  
etc.)

Rules apply to  
paid and  
volunteer  
campaign staff



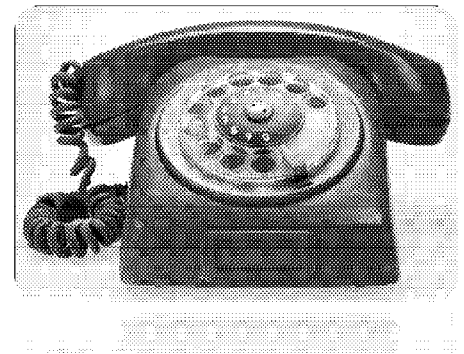
U.S. House of Representatives

COMMITTEE ON ETHICS

## Exceptions for Certain Campaign-Related Activities

Common sense exceptions to the prohibition on use of official resources:

- scheduling
- handling press calls
- referrals to campaign office
- providing official materials





U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Use of Campaign Funds

- **General rule:** Campaign funds may be used for some expenses of a Member's personal office or a committee on which the Member serves
- **Permitted official uses:**



Food at Member office events



Officially-connected travel for Member or staff



Travel for guest speaker at Member office event



Cell phone or BlackBerry



Car



U.S. House of Representatives

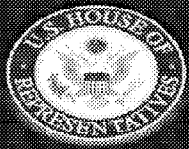
COMMITTEE ON ETHICS

## Impermissible Use of Campaign Funds

Some clearly prohibited personal expenses:

- Normal living expenses (food, clothing, shelter)
- Vacation expenses
- Tickets to shows and sporting events  
(unless part of a bona fide campaign event)
- Country club or health club dues

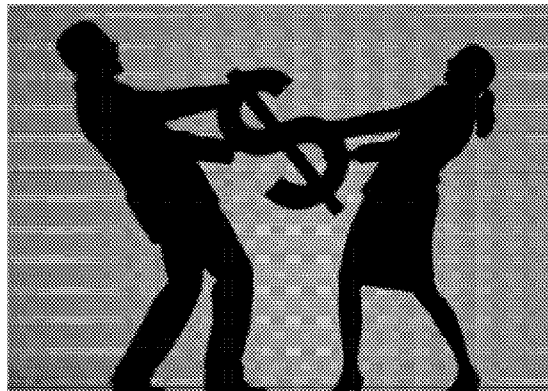
**Members may never borrow from their campaign account**



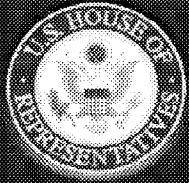
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Conflict of Interest



COE.OCEREQUEST.000257

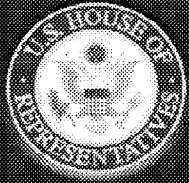


U.S. House of Representatives

# COMMITTEE ON ETHICS

## General Principles

- Do not allow compensation to accrue to your personal benefit from improper use of House position.- House Rule 23, clause 3
- Do not accept benefits for you or your family under circumstances that appear to influence your governmental duties. - Code of Ethics for Government Service ¶5
- No “special favors” to anyone, based on personal, business, or political relationships. - Code of Ethics for Government Service ¶ 5
- Do not use official position or confidential information for personal gain. - Code of Ethics for Government Service ¶ 8
- Do not use official House resources for personal or campaign activities. - 31 U.S.C. § 1301



U.S. House of Representatives  
COMMITTEE ON ETHICS

## Personal Activity

### **Do Not Contract with Federal Government**

EXCEPT: Certain farm programs excluded. - Code of Ethics for Government Service ¶ 7; 18 U.S.C. §§ 431 & 433; 41 U.S.C. § 6306(a) & (b).

### **No Lobbying or Representational Contacts**

Do NOT represent an outside organization in a matter if the Federal government is a party or has an interest.

Do NOT lobby or aid outside organizations in the lobbying of Congress or the Executive Branch.- 18 U.S.C. §§ 203 & 205; House Rule 25, clause 6.

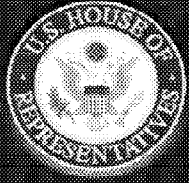
SPOUSE CANNOT lobby you or your staff if, spouse is a registered federal lobbyist. - House Rule 25, clause 7.

### **Do Not Use Material, Nonpublic Information**

May constitute INSIDER TRADING.

SEC definition of “public” not obvious or clear.

### **Do NOT Participate in an IPO**



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Prohibitions on Outside Positions

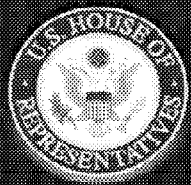
Members ***may not*** serve as an officer or director of any:

- Public company, defined by the Securities and Exchange Act of 1934; or
- Company traded on a foreign market.
- There are NO exceptions to these restrictions.

Members ***may not*** serve as an officer or director of any:

- Entity that receives funding from a federal agency, jurisdiction of which falls within a committee on which a Member sits; or
- Entity that is regulated by a federal agency, jurisdiction of which falls within a committee on which a Member sits.
- There are several exceptions to these restrictions.





U.S. House of Representatives

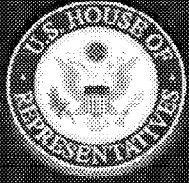
# COMMITTEE ON ETHICS

## Earned Income and Other Restrictions

Members may not—

- All Members are limited in the amount of outside income they may earn (2021: \$29,595)
- Permit a firm that provides fiduciary services to *use your name*
- Receive —
  - compensation for serving as an *officer or director* of any entity
    - Includes both for-profit and non-profit organizations
  - payment for performing services involving a *fiduciary relationship*
- Fiduciary Professions: *Legal, real estate, consulting and advising (including lobbying), insurance, medicine,\* financial services, and similar positions where you hold a position of trust*

*\*Note: There are special rules for Members who are also medical doctors*



U.S. House of Representatives

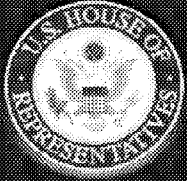
# COMMITTEE ON ETHICS

## Other Outside Activities

Honoraria: Members may not receive an honorarium (*i.e.*, payment for a speech, article, or appearance), but may have up to \$2,000 donated directly to a charity.

Teaching: Members may not teach for compensation unless they first get written permission from the Ethics Committee for each semester of teaching

Writing: Members must receive prior Committee approval for any book contract. Members may not receive an advance on copyright royalties.



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Activity

### ▪ Voting in the House

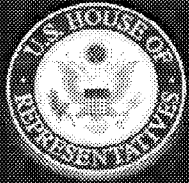
- You **MUST** vote on each question put, **UNLESS** you have a direct
  - personal or pecuniary interest in the matter. - House Rule 3, clause 1.

### ▪ Other House Actions

- You **MUST** use “added circumspection” on all other official actions (sponsoring a bill, advocating for or participating in House committee action, contacting an executive branch agency, etc...).
- Possible Solutions include *recusal or referral to another Member office, committee with jurisdiction, or Senate office.*
- **BUT: do NOT** advocate to that other office.
- **REMINDER: Your staff acts on your behalf and you may be held liable for their actions.**

### ▪ Earmarks & Financial Interest Certification

- You **MUST** certify that neither you nor your spouse has a personal financial interest in a requested earmark or limited tax or tariff benefit. The Committee of jurisdiction over the bill determines if earmark or tariff benefit.



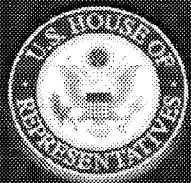
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Post Employment Restrictions

- Former Members may not communicate or appear before the House or Senate on behalf of third party seeking official action for a year
- Current Members and staff *may not* aid former Members and staff in violating the post-employment restrictions
- Members and senior staff must disclose negotiations with private entities
- Members and senior staff may be required to recuse from related official matters



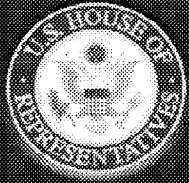


U.S. House of Representatives

# COMMITTEE ON ETHICS

## Financial Disclosure Statements

- Due date is May 15<sup>th</sup>
- You must have at least one employee in your personal office who files an FD. Must be either –
  - senior staff rate (\$132,552) for 60 days or more, or
  - A Principal Assistant: An employee you select to file a financial disclosure (if no employee paid at senior staff rate)
- Committee staff are able to prescreen your FD prior to filing
- You may use your MRA to compensate someone to prepare your FD



U.S. House of Representatives

# COMMITTEE ON ETHICS

## FD and PTR: Whose Assets Must be Reported?

On both annual FD and PTR, report assets (and transactions in assets) owned

wholly or in part by:

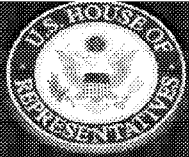
You

Your spouse, or

Your dependent children

Under age 21, unmarried, & living with you (or in college) *or*

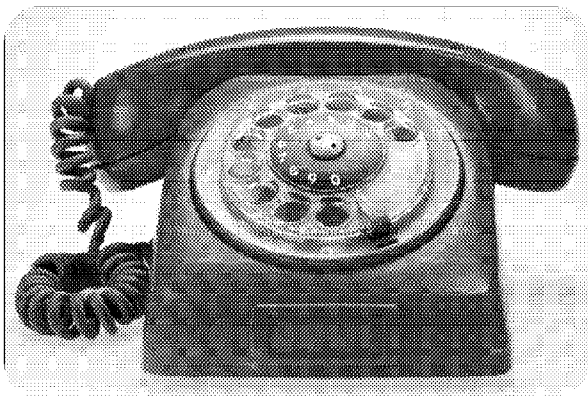
Claimed as dependent on your federal taxes



U.S. House of Representatives

# COMMITTEE ON ETHICS

**Call or Write Before Acting**



Committee on Ethics  
1015 Longworth HOB  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (fax)  
*website: [ethics.house.gov](http://ethics.house.gov)*

*All communications are confidential  
Good faith reliance on written Committee opinions  
protects you from sanctions under House rules*



# **EXHIBIT 2**

# **Ethics Training for Members-Elect**

**Presented by the Staff of the  
Committee on Ethics  
U.S. House of Representatives**

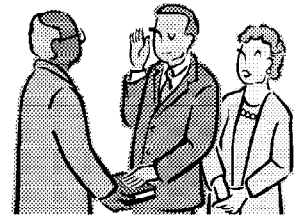
COE.OCEREQUEST.000305

# What is the Ethics Committee and What Does it Do?

- Constitutional Authority: Article I, Section 5 of the U.S. Constitution: “Each House may . . . Punish its Members for disorderly Behavior . . .”
- 10-Members of Congress on a bipartisan committee
- Non-partisan staff:
  - Advise and provide training and guidance on ethics laws, rules, and standards of conduct
    - Seeking advice insulates you from an investigation
    - We keep a record of all inquiries
  - Review Financial Disclosure filings (staff are available to perform prescreens)
  - Investigate possible violations by Members, officers, and employees
  - You can contact the Committee by phone, e-mail, mail, or by walking in person

## Important Benchmarks for New Members

- Members ARE subject to the federal bribery and illegal gratuity statutes BEFORE swearing in
- Members are subject to the House ethics rules and the STOCK ACT UPON swearing in
- Wind down outside business within 90 days
- Staff must complete ethics training within first 60 days
- Annual Financial Disclosure Statement due May 17th



# OFFICIAL RESOURCES

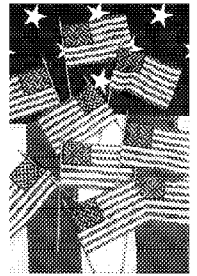


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## Official Resources

- Official resource is anything paid for with an appropriation (including your staff)
- No personal use of official resources (except *de minimus*)
- No use for campaign activity unless expressly permitted
  
- Official expenses or activities may only be paid from:
  - Appropriated funds (MRA);
  - Member's personal funds; or
  - Member's campaign funds (with certain limits)
- No private donations, funds, or in-kind goods or services are allowed in support of official House activities or expenses.

## Official Resources: Maintain A Bright Line



### Your Official Staff Cannot—

- Contribute to your campaign
- Provide an outlay to your campaign
- Do campaign work on official time or in official buildings
- Work for free (exceptions for interns, etc.)
- Use their personal funds for official purposes
- Give you gifts (including running personal errands)
- Be required or pressured to volunteer for anything, including your campaign
- Use official resources or position for their own personal benefit, or yours
- Take official actions that would create a conflict for you
- Represent others (unofficially) to the federal government

# Official Resources and Events

***An event can only ever be an official congressional event or an outside group's event***

- **Cannot** co-sponsor an official congressional event with any outside group, including a non-profit
- **No** private subsidy for official congressional events
  - **But:** assistance from domestic governmental entities, including public universities is permitted
- No use of official resources for an event sponsored by an outside group
  - **But:** your name may sometimes be used in connection with an outside group's event
- **No** solicitation of an outside group to hold an event for you



# GIFTS



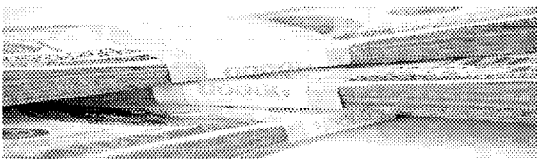
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# Bribes and Illegal Gratuities

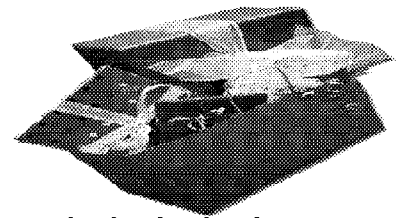
Benchmark: Applies prior to swearing in

You ***may not*** accept a gift that is offered in connection with an official action taken or asked to be taken

- May be deemed a bribe or improper gratuity under federal criminal law (18 U.S.C. § 201)
- Items of nominal value are allowed as thank you gifts (*e.g.*, flowers, baked goods, or decorative items)



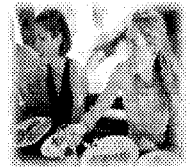
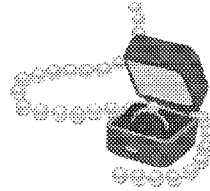
# Gifts



- A gift is almost anything of value, including a discount, tickets to a game, a cup of coffee, a gift card
- The gift rule is written in the negative—cannot accept a gift unless an exception permits acceptance
  - More than 20 exceptions—far fewer exceptions for gifts from federal registered lobbyists or foreign agents
- Before you accept a gift, ask yourself:
  1. Can I accept the gift?
  2. Do I need prior approval from the Ethics Committee?
  3. Do I need to disclose or report the gift (*e.g.*, the Ethics Committee, Clerk, or an FD Statement, etc.)?
- Prior Ethics approval may be required, such as for gifts of personal friendship of more than \$250

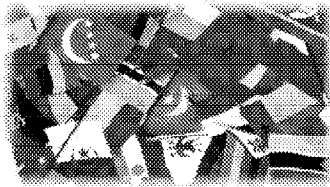
# Categories of Permissible Gifts

- Gifts from relatives
  - Includes fiancés and in-laws
- Gifts from personal friends
  - Must meet certain criteria
- Gifts from other Members and staff
  - Gifts from employees up the chain only on special occasions
- Gifts related to outside activities
  - May not be offered or enhanced due to House employment
- Gifts from federal, state, or local government
  - Includes public universities



## Gifts from Foreign Governments

- Foreign Gifts and Decorations Act (FGDA) allows Members and staff to accept a gift of **\$415 or less** from a foreign government
- If the gift is worth more than \$415, you must turn the gift over to the Clerk within 60 days for disposal and file a disclosure form with the Ethics Committee
- With Committee permission, you may be able to retain the gift for official use



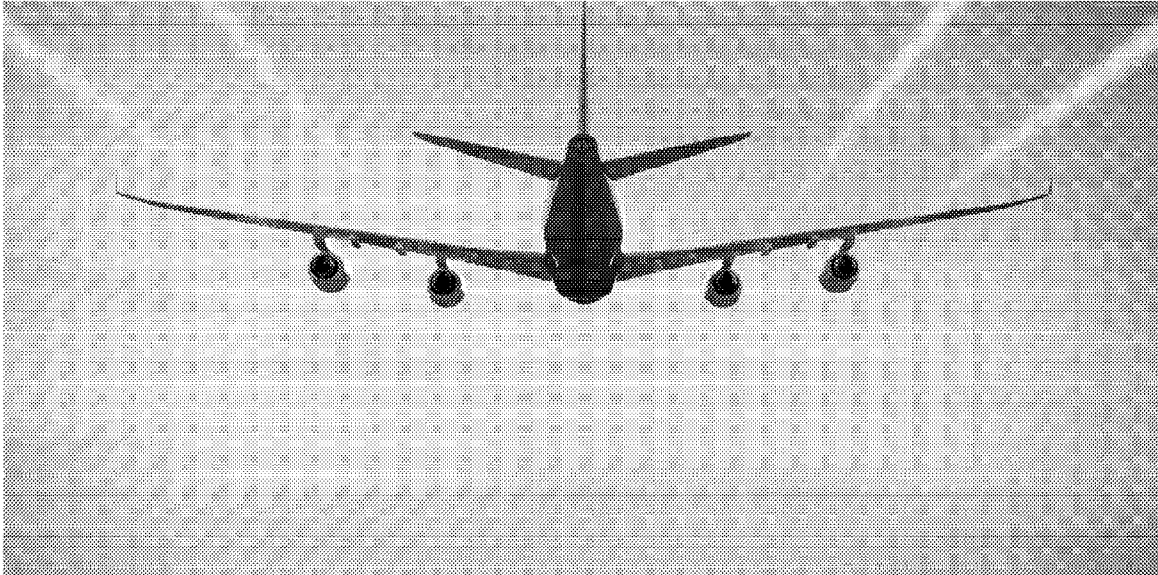
# Solicitations

- General prohibition *against* most solicitations (5 U.S.C. § 7353)



- Permissible charitable solicitations
  - Must be in your personal capacity
  - On your own time
  - Not using official resources
  - No solicitations of lobbyists or foreign agents
  - No implied official endorsement
  - No direct personal benefit to soliciting individual

# TRAVEL



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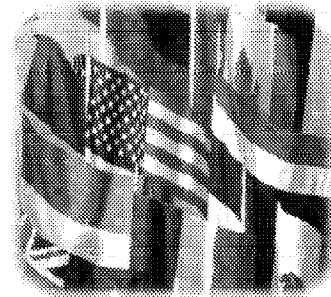
# Privately-Sponsored Travel

- Each traveler must obtain **prior, written approval** from the House Ethics Committee
- Request must be submitted 30 days prior to the trip
- Travel Rules and Forms available on the Committee's Web site
- Committee pre-approval not required for travel paid for using:
  - House funds (MRA or committee funds)
  - Federal, state, or local government funds (includes domestic public university funds)
  - Campaign funds
  - Foreign government funds (only as authorized by law)
  - Travel related to outside employment or activities



# Foreign Government Travel

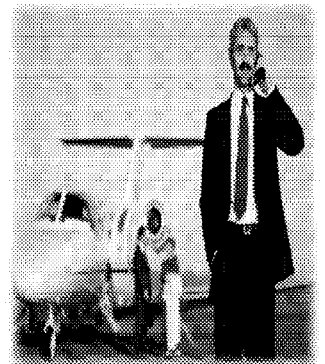
- Special rules and disclosure requirements for travel funded by foreign governments
- Statutes permitting:
  - Mutual Educational and Cultural Exchange Act (MECEA)
  - Foreign Gifts and Decorations Act (FGDA)



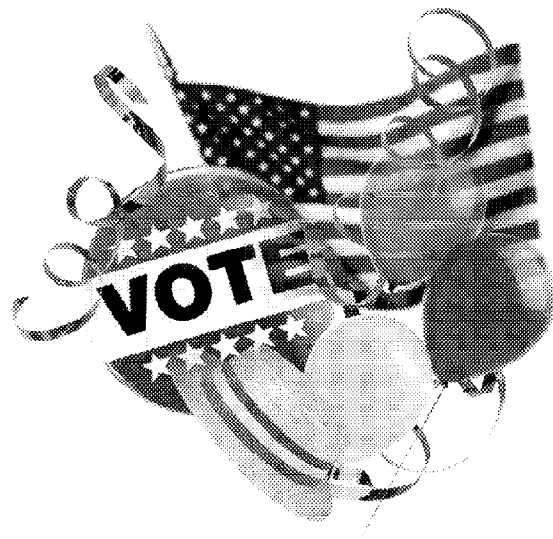
Contact Ethics before accepting any foreign government travel

# Private Planes

- Significant restrictions on the use of campaign or personal funds to pay for flights on privately-owned aircraft
- Call the Ethics Committee before flying
- Prior Ethics approval may be required to accept a gift of private plan travel
- Disclosure may be required



# CAMPAIGN ACTIVITY



COE.OCEREQUEST.000322

## Permissible Uses of Campaign Funds During Your Transition

- As a general rule, you may continue to use your campaign funds for *bona fide* expenses you incur in preparing to take office. (Always check with the FEC regarding proper use of campaign funds.)
- Such expenses may include those for
  - Transition staff
  - Transition supplies & equipment
  - Transition office space
  - Travel
  - Expenses incurred in moving to Washington, DC (both office and personal effects)



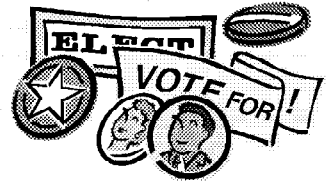
# Campaign Rules Overview

Maintain a bright line between House office and campaign activity

*Limited overlap exceptions:*

- 1. Staff that handle the Member's schedule may coordinate with campaign*
- 2. Press team may answer incidental campaign questions during official interview, but should not initiate discussion of campaign issues*

**Call if ever in doubt**

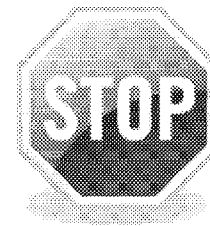


# Official Use of Campaign Funds

**General rule:** Campaign funds may be used for some official expenses—*however*





House Rules specifically **prohibit** Members from using campaign funds for the following official expenses:

- Mail or other communications
- Compensation for services
- Office space
- Furniture
- Equipment & IT services



# Improper Personal Use

Some clearly prohibited personal expenses:

- Normal living expenses (food, clothing, shelter) 
- Vacation expenses 
- Tickets to shows and sporting events (unless part of a bona fide campaign event) 
- Country club or health club dues 

Members may never borrow from their campaign account

# OUTSIDE BUSINESS OR ACTIVITIES



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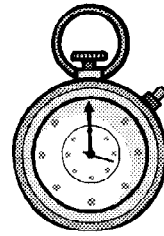


# Business Interests: Begin Wind-Down NOW

**Benchmark:** Within first 90 days

Start planning your transition now

- *May* need to
  - Change business name,
  - Change business structure, or
  - Sell or divest from a business
- Committee counsel available to discuss your particular situation and requirements



# Prohibitions on Outside Positions

Members *may not* serve as an officer or director of any:

- Public company, defined by the Securities and Exchange Act of 1934; or
- Company traded on a foreign market.
- There are NO exceptions to these restrictions.

Members *may not* serve as an officer or director of any:

- Entity that receives funding from a federal agency, jurisdiction of which falls within a committee on which a Member sits; or
- Entity that is regulated by a federal agency, jurisdiction of which falls within a committee on which a Member sits.
- There are several exceptions to these restrictions.

## Earned Income and Other Restrictions

- All Members are limited in the amount of outside income they may earn (2020: \$28,845)

Members may not—

- Permit a firm that provides fiduciary services to ***use your name***
- Receive —
  - compensation for serving as an ***officer or director*** of any entity
    - Includes both for-profit and non-profit organizations
  - payment for performing services involving a ***fiduciary relationship***
- Fiduciary Professions: ***Legal, real estate, consulting and advising (including lobbying), insurance, medicine, \* financial services, and similar positions where you hold a position of trust***

***\*Note: There are special rules for Members who are also medical doctors***

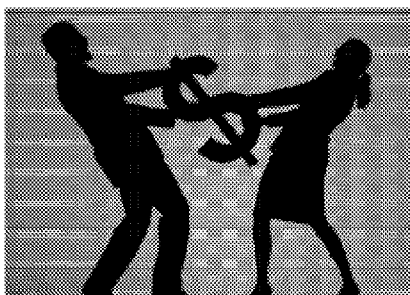
## **Other Outside Activities**

Honoraria: Members may not receive an honorarium (*i.e.*, payment for a speech, article, or appearance), but may have up to \$2,000 donated directly to a charity.

Teaching: Members may not teach for compensation unless they first get written permission from the Ethics Committee for each semester of teaching

Writing: Members must receive prior Committee approval for any book contract. Members may not receive an advance on copyright royalties.

# CONFLICTS OF INTEREST



COE.OCEREQUEST.000332

## General Principles

- Do not allow compensation to accrue to your personal benefit from improper use of House position.- House Rule 23, clause 3
- Do not accept benefits for you or your family under circumstances that appear to influence your governmental duties. - Code of Ethics for Government Service ¶5
- No "special favors" to anyone, based on personal, business, or political relationships. - Code of Ethics for Government Service ¶ 5
- Do not use official position or confidential information for personal gain. - Code of Ethics for Government Service ¶ 8
- Do not use official House resources for personal or campaign activities. - 31 U.S.C. § 1301

# Official Activity

## Voting in the House

- You **MUST** vote on each question put, **UNLESS** you have a direct personal or pecuniary interest in the matter. - *House Rule 3, clause 1.*



## Other House Actions

- You **MUST** use “added circumspection” on all other official actions (sponsoring a bill, advocating for or participating in House committee action, contacting an executive branch agency, etc...).
- Possible Solutions include *recusal or referral to another Member office, committee with jurisdiction, or Senate office.*  
BUT: **do NOT** advocate to that other office.
- REMINDER: **Your staff acts on your behalf and you may be held liable for their actions.**

## Earmarks & Financial Interest Certification

- You **MUST** certify that neither you nor your spouse has a personal financial interest in a requested earmark or limited tax or tariff benefit. The Committee of jurisdiction over the bill determines if earmark or tariff benefit.

# Personal Activity

## **Do Not Contract with Federal Government**

- EXCEPT: Certain farm programs excluded. - Code of Ethics for Government Service ¶ 7, 18 U.S.C. §§ 431 & 433; 41 U.S.C. § 6306(a) & (b).

## **No Lobbying or Representational Contacts**

- Do NOT represent an outside organization in a matter if the Federal government is a party or has an interest.
- Do NOT lobby or aid outside organizations in the lobbying of Congress or the Executive Branch.- 18 U.S.C. §§ 203 & 205; House Rule 25, clause 6.
- SPOUSE CANNOT lobby you or your staff if, spouse is a registered federal lobbyist. - House Rule 25, clause 7.

## **Do Not Use Material, Nonpublic Information**

- May constitute INSIDER TRADING.
- SEC definition of "public" not obvious or clear.

## **Do NOT Participate in an IPO**

**Benchmark:** Members are subject to the STOCK ACT UPON swearing in



# Post-Employment Restrictions

- Former Members may not communicate or appear before the House or Senate on behalf of third party seeking official action for a year
- Current Members and staff ***may not*** aid former Members and staff in violating the post-employment restrictions
- Members and employees paid at the post-employment rate must disclose negotiations with private entities
- Members and senior staff may be required to recuse from related official matters

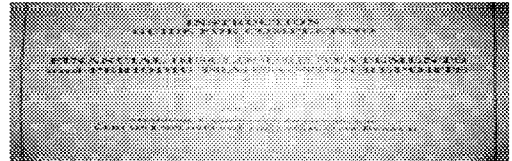
# FINANCIAL DISCLOSURE



COE.OCEREQUEST.000337

# Financial Disclosure Statements

- **Benchmark: Must file each May 15, (May 17th in 2021)**
- Additional reporting requirements for Member FD versus candidate FD:
  - Transactions
  - Liabilities on personal residence
  - Gifts & travel received *after* sworn in to Congress
- You must have at least one employee in your personal office who files an FD. Must be either -
  - senior staff rate (\$131,239) for 60 days or more, or
  - A Principal Assistant: An employee you select to file a financial disclosure (if no employee paid at the post-employment rate)
- Committee staff are able to prescreen your FD prior to filing
- You may use your MRA to compensate someone to prepare your FD

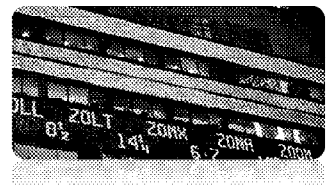


# Periodic Transaction Reports (PTRs)

**Benchmark: Applies to transactions executed on or after your swearing-in date**

- Requirement applies to Members and senior staff
- Reporting of securities transactions only (stocks, bonds, options, futures, other securities) and only transactions valued at more than \$1,000
- Transactions reported on the PTR must also be reported on the annual FD
- You must file a PTR *not more than 45 days* from the date of the transaction
- Graduated late fee structure for late PTRs—can result in thousands of dollars in late fees (!)

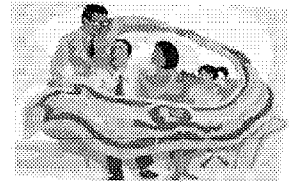
**NO EXTENSIONS ALLOWED!**  
**Do not file a report of "no activity"**



## **FD and PTR: Whose Assets Must be Reported?**

On both annual FD and PTR, report assets (and transactions in assets) owned wholly or in part by:

- You
- Your spouse, or
- Your dependent children
  - Under age 21, unmarried, & living with you (or in college) *or*
  - Claimed as dependent on your federal taxes



# Call or Write Before Acting

## **House Committee on Ethics**

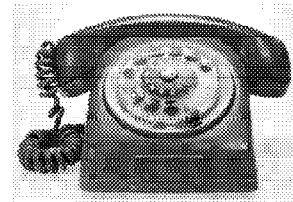
Office of Advice and Education

1015 Longworth House Office Building

Washington, DC 20515

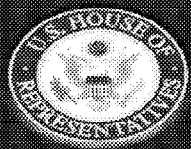
(202) 225-7103 (office) (202) 225-7392 (fax)

[www.ethics.house.gov](http://www.ethics.house.gov)



- All communications are confidential
  - Law states that no one is placed at risk by seeking Committee advice about future conduct
  - Good faith reliance on written Committee opinions protects you from sanctions under House rules

# **EXHIBIT 3**



*U.S. House of Representatives*

COMMITTEE ON ETHICS

# Training for Members on Ethics Laws, Rules, and Standards of Conduct

Presented by the  
Committee on Ethics  
U.S. House of Representatives

116<sup>th</sup> Congress

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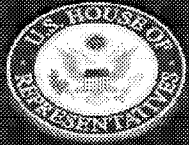


*U.S. House of Representatives*

# COMMITTEE ON ETHICS

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*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Official Resources



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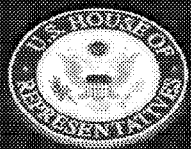


U.S. House of Representatives

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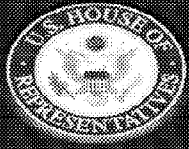
*U.S. House of Representatives*

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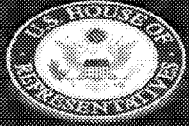
U.S. House of Representatives

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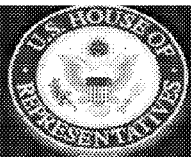
U.S. House of Representatives

# COMMITTEE ON ETHICS

## General Casework



- Members have *broad* discretion in deciding whether and how to assist constituents
- *No* special treatment or “access” for supporters, contributors, or friends
- Avoid *ex parte* communications
- Communications between Members and constituents are considered *confidential*

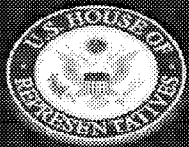


*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Sexual Harassment and Employment Discrimination

- House Rule 23, clause 9 prohibits discharging or refusing to hire an individual, or otherwise discriminating against an individual on the basis of race, color, religion, sex (including marital or parental status), sexual orientation, gender identity, disability, age, or national origin of such individual, including by committing an act of sexual harassment against such individual.
- House Rule 23, clause 18(a) prohibits Members from engaging in a sexual relationship with any employee of the House who works under the supervision of the Member, or who is an employee of a committee on which the Member, serves.
- House Rule 23, clause 18(b) prohibits Members from in unwelcome sexual advances or conduct towards another Member, Delegate, Resident Commissioner, officer, or employee of the House.



U.S. House of Representatives

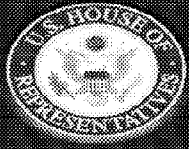
# COMMITTEE ON ETHICS

## Gifts



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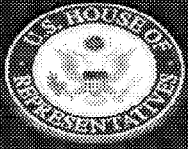


U.S. House of Representatives

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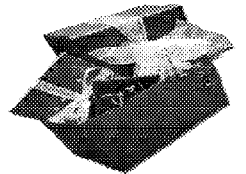


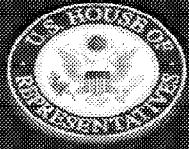
U.S. House of Representatives

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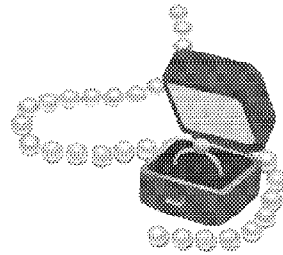


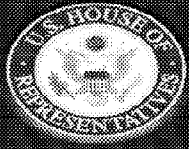
U.S. House of Representatives

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U.S. House of Representatives

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- If the gift is worth more than \$415, you must turn the gift over to the Clerk within 60 days for disposal and file a disclosure form with the Ethics Committee
- With Committee permission, you may be able to retain the gift for official use

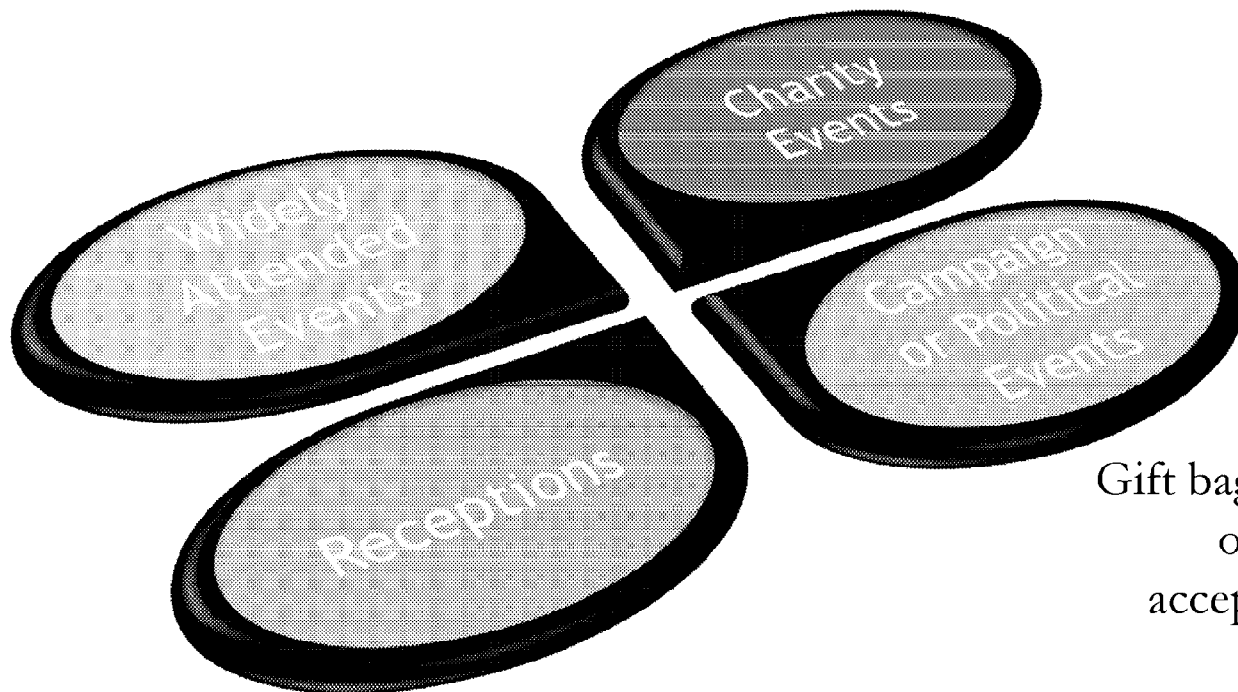


U.S. House of Representatives

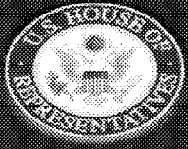
# COMMITTEE ON ETHICS

## Attendance at Events

“Free attendance” at certain types of events may be accepted under the rule:



Gift bags are permitted only if otherwise acceptable under the gift rule



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Widely Attended & Charity Events



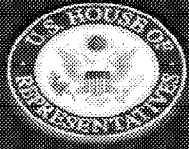
### Widely Attended Events

- Attendance connected to official duties
- Open to the public or at least 25 non-Hill attendees



### Charity Events

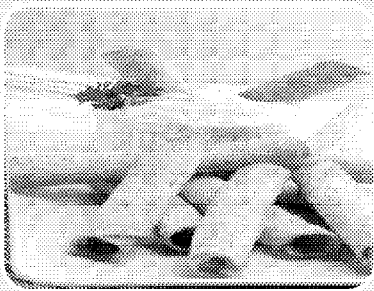
- Sponsored by a 501(c)(3) non-profit
- May accept free attendance only from the sponsor



U.S. House of Representatives

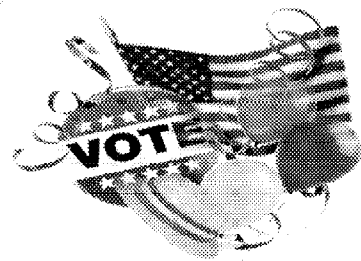
# COMMITTEE ON ETHICS

## Receptions & Campaign Events



### Receptions

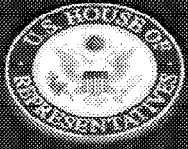
- Food or refreshments of a nominal value
- Cannot constitute a meal



### Campaign or Political Events

- Sponsored by a 527 organization
- Invitation must come directly from the 527





U.S. House of Representatives

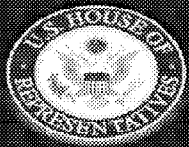
# COMMITTEE ON ETHICS

## Solicitations

- General prohibition *against* most solicitations (5 U.S.C. § 7353)
  
- Permissible charitable solicitations
  - Must be in your personal capacity
  - On your own time
  - Not using official resources
  - No solicitations of lobbyists or foreign agents
  - No implied official endorsement
  - No direct personal benefit to soliciting individual



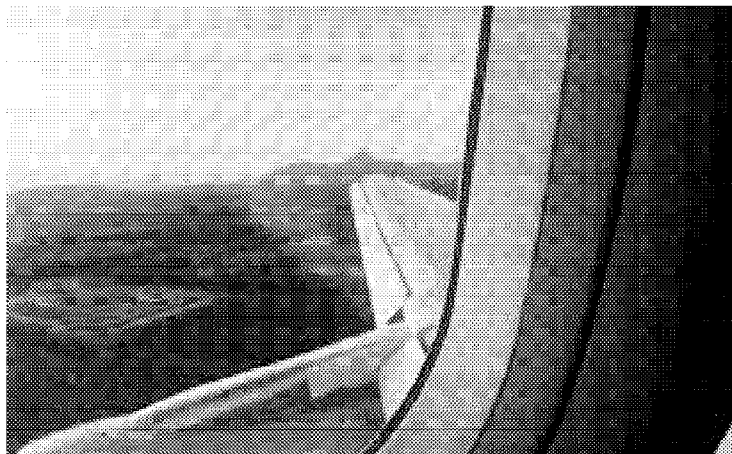




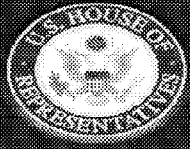
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Travel



COE.OCEREQUEST.000208



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Privately-sponsored Travel

- *Each* traveler must obtain prior, written approval from the Ethics Committee
- Request must be submitted at least *30 days* before start date of the trip



- There are significant restrictions on accepting travel expenses from private entities that *retain or employ* lobbyists or foreign



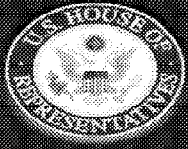
*U.S. House of Representatives*

COMMITTEE ON ETHICS

## Pre-Approval Exceptions

Committee pre-approval not required for travel paid for using:

- House funds (MRA or committee funds)
- Federal campaign funds, provided your travel is reported to the FEC
- U.S. federal, state, or local government funds
  - Public (state) university funds



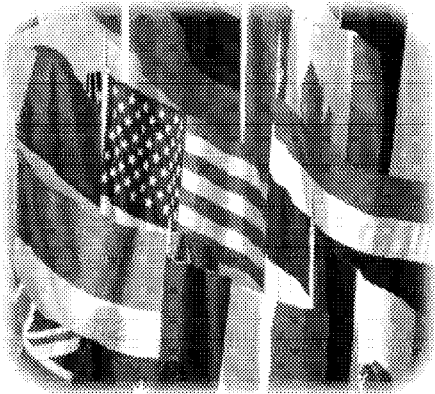
U.S. House of Representatives

# COMMITTEE ON ETHICS

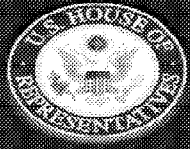
## Travel from Foreign Government

Special rules and disclosure requirements for travel funded by *foreign* governments:

- MECEA (Mutual Educational and Cultural Exchange Act)
- FGDA (Foreign Gifts and Decorations Act)
  - Committee pre-approval not required for either
  - FGDA travel must be reported to Committee on special form within 30 days



COE.OCEREQUEST.000211



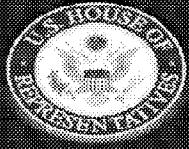
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Private Planes

- Significant restrictions on the use of campaign or personal funds to pay for flights on privately-owned aircraft
- Call the Ethics Committee before flying
- Prior Ethics approval may be required to accept a gift of private plane travel
- Disclosure may be required





*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Campaign Activity



COE.OCEREQUEST.000213



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Campaign Activity



Same Rules  
apply to all  
Members and  
House staff

Rules apply in  
both election  
and  
non-election  
years

Rules generally  
apply to *any*  
campaign  
(Presidential,  
House, local,  
etc.)

Rules apply to  
paid and  
volunteer  
campaign staff



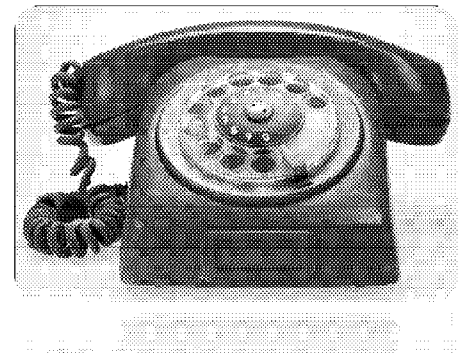
U.S. House of Representatives

COMMITTEE ON ETHICS

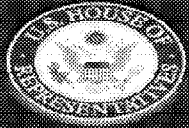
## Exceptions for Certain Campaign-Related Activities

Common sense exceptions to the prohibition on use of official resources:

- scheduling
- handling press calls
- referrals to campaign office
- providing official materials







U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Use of Campaign Funds

- **General rule:** Campaign funds may be used for some expenses of a Member's personal office or a committee on which the Member serves
- **Permitted official uses:**



Food at Member office events



Officially-connected travel for Member or staff



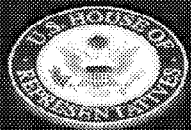
Travel for guest speaker at Member office event



Cell phone or BlackBerry



Car



U.S. House of Representatives

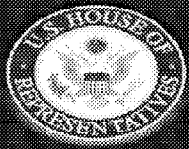
COMMITTEE ON ETHICS

## Impermissible Use of Campaign Funds

Some clearly prohibited personal expenses:

- Normal living expenses (food, clothing, shelter)
- Vacation expenses
- Tickets to shows and sporting events  
(unless part of a bona fide campaign event)
- Country club or health club dues

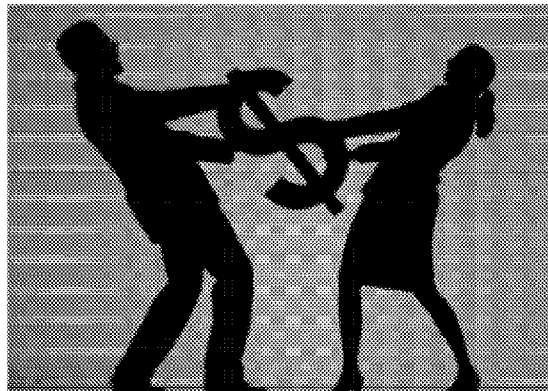
**Members may never borrow from their campaign account**



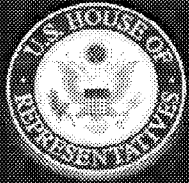
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Conflict of Interest



COE.OCEREQUEST.000218

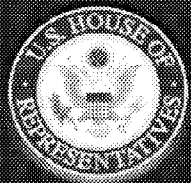


U.S. House of Representatives

# COMMITTEE ON ETHICS

## General Principles

- Do not allow compensation to accrue to your personal benefit from improper use of House position.- House Rule 23, clause 3
- Do not accept benefits for you or your family under circumstances that appear to influence your governmental duties. - Code of Ethics for Government Service ¶5
- No “special favors” to anyone, based on personal, business, or political relationships. - Code of Ethics for Government Service ¶ 5
- Do not use official position or confidential information for personal gain. - Code of Ethics for Government Service ¶ 8
- Do not use official House resources for personal or campaign activities. - 31 U.S.C. § 1301



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Personal Activity

### **Do Not Contract with Federal Government**

EXCEPT: Certain farm programs excluded. - *Code of Ethics for Government Service* ¶ 7; *18 U.S.C. §§ 431 & 433*; *41 U.S.C. § 6306(a) & (b)*.

### **No Lobbying or Representational Contacts**

Do NOT represent an outside organization in a matter if the Federal government is a party or has an interest.

Do NOT lobby or aid outside organizations in the lobbying of Congress or the Executive Branch.- *18 U.S.C. §§ 203 & 205*; *House Rule 25, clause 6*.

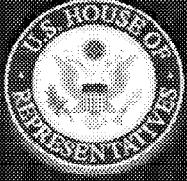
SPOUSE CANNOT lobby you or your staff if, spouse is a registered federal lobbyist. - *House Rule 25, clause 7*.

### **Do Not Use Material, Nonpublic Information**

May constitute INSIDER TRADING.

SEC definition of "public" not obvious or clear.

### **Do NOT Participate in an IPO**



U.S. House of Representatives

# COMMITTEE ON ETHICS

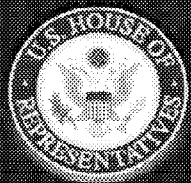
## Prohibitions on Outside Positions

Members ***may not*** serve as an officer or director of any:

- Public company, defined by the Securities and Exchange Act of 1934; or
- Company traded on a foreign market.
- There are NO exceptions to these restrictions.

Members ***may not*** serve as an officer or director of any:

- Entity that receives funding from a federal agency, jurisdiction of which falls within a committee on which a Member sits; or
- Entity that is regulated by a federal agency, jurisdiction of which falls within a committee on which a Member sits.
- There are several exceptions to these restrictions.



U.S. House of Representatives

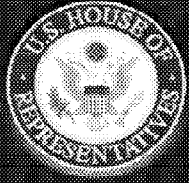
# COMMITTEE ON ETHICS

## Earned Income and Other Restrictions

Members may not—

- All Members are limited in the amount of outside income they may earn (2020: \$28,845)
- Permit a firm that provides fiduciary services to *use your name*
- Receive —
  - compensation for serving as an *officer or director* of any entity
    - Includes both for-profit and non-profit organizations
  - payment for performing services involving a *fiduciary relationship*
- Fiduciary Professions: *Legal, real estate, consulting and advising (including lobbying), insurance, medicine,\* financial services, and similar positions where you hold a position of trust*

*\*Note: There are special rules for Members who are also medical doctors*



U.S. House of Representatives

# COMMITTEE ON ETHICS

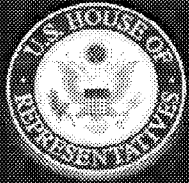
## Other Outside Activities

Honoraria: Members may not receive an honorarium (*i.e.*, payment for a speech, article, or appearance), but may have up to \$2,000 donated directly to a charity.

Teaching: Members may not teach for compensation unless they first get written permission from the Ethics Committee for each semester of teaching

Writing: Members must receive prior Committee approval for any book contract. Members may not receive an advance on copyright royalties.

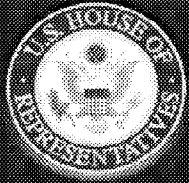




# U.S. House of Representatives COMMITTEE ON ETHICS

## Official Activity

- **Voting in the House**
- You **MUST** vote on each question put, **UNLESS** you have a direct
  - personal or pecuniary interest in the matter. - House Rule 3, clause 1.
  
- **Other House Actions**
- You **MUST** use “added circumspection” on all other official actions (sponsoring a bill, advocating for or participating in House committee action, contacting an executive branch agency, etc...).
- Possible Solutions include *recusal or referral to another Member office, committee with jurisdiction, or Senate office.*
- **BUT: do NOT** advocate to that other office.
- **REMINDER: Your staff acts on your behalf and you may be held liable for their actions.**
  
- **Earmarks & Financial Interest Certification**
- You **MUST** certify that neither you nor your spouse has a personal financial interest in a requested earmark or limited tax or tariff benefit. The Committee of jurisdiction over the bill determines if earmark or tariff benefit.

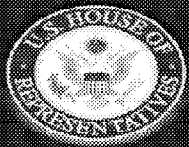


U.S. House of Representatives

# COMMITTEE ON ETHICS

## Post Employment Restrictions

- Former Members may not communicate or appear before the House or Senate on behalf of third party seeking official action for a year
- Current Members and staff *may not* aid former Members and staff in violating the post-employment restrictions
- Members and senior staff must disclose negotiations with private entities
- Members and senior staff may be required to recuse from related official matters



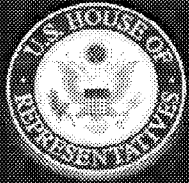
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Financial Disclosure



COE.OCEREQUEST.000226

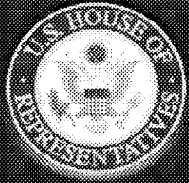


U.S. House of Representatives

# COMMITTEE ON ETHICS

## Financial Disclosure Statements

- Due date is May 15<sup>th</sup>
- You must have at least one employee in your personal office who files an FD. Must be either –
  - senior staff rate (\$131,239) for 60 days or more, or
  - A Principal Assistant: An employee you select to file a financial disclosure (if no employee paid at senior staff rate)
- Committee staff are able to prescreen your FD prior to filing
- You may use your MRA to compensate someone to prepare your FD



U.S. House of Representatives

# COMMITTEE ON ETHICS

## FD and PTR: Whose Assets Must be Reported?

On both annual FD and PTR, report assets (and transactions in assets) owned

wholly or in part by:

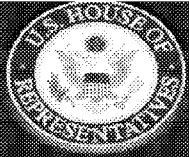
You

Your spouse, or

Your dependent children

Under age 21, unmarried, & living with you (or in college) or

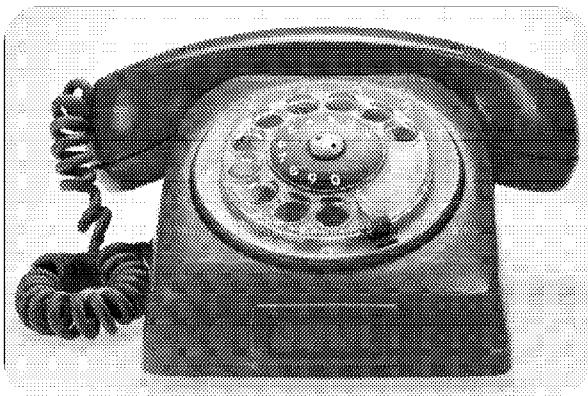
Claimed as dependent on your federal taxes



U.S. House of Representatives

# COMMITTEE ON ETHICS

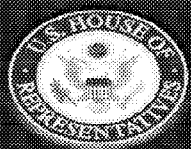
## Call or Write Before Acting



Committee on Ethics  
1015 Longworth HOB  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (fax)  
*website: [ethics.house.gov](http://ethics.house.gov)*

*All communications are confidential  
Good faith reliance on written Committee opinions  
protects you from sanctions under House rules*

# **EXHIBIT 4**



*U.S. House of Representatives*

COMMITTEE ON ETHICS

# Training for House Members on Ethics Laws, Rules, and Standards of Conduct

Presented by the  
Committee on Ethics  
U.S. House of Representatives

116<sup>th</sup> Congress

COE.OCEREQUEST.000152



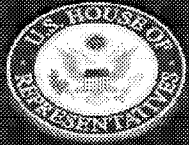


*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## The Ethics Committee and its Functions

- Constitutional Authority: Article I, Section 5 of the U.S. Constitution: “Each House may . . . Punish its Members for disorderly Behavior . . .”
- 10-Members of Congress on a bipartisan committee
- Non-partisan staff:
  - Advise and provide training and guidance on ethics laws, rules, and standards of conduct
    - Seeking advice insulates you from an investigation
    - We keep a record of all inquiries
  - Review Financial Disclosure filings (staff are available to perform prescreens)
  - Investigate possible violations by Members, officers, and employees
  - You can contact the Committee by phone, e-mail, mail, or by walking in person



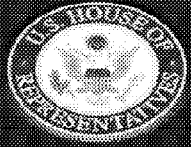
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Official Resources



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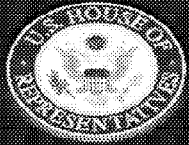


U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Resources

- Official resource is anything paid for with an appropriation (including your staff)
- No personal use of official resources (except *de minimus*)
- No use for campaign activity unless expressly permitted
  
- Official expenses or activities may only be paid from:
  - Appropriated funds (MRA);
  - Member's personal funds; or
  - Member's campaign funds (with certain limits)
- No private donations, funds, or in-kind goods or services are allowed in support of official House activities or expenses.



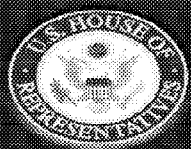
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Official Resources: Maintain A Bright Line

### Your Official Staff Cannot—

- Contribute to your campaign
- Do campaign work on official time or in official buildings
- Work for free (exceptions for interns, etc.)
- Use their personal funds for official purposes
- Give you gifts (including running personal errands)
- Be required or pressured to volunteer for anything, including your campaign
- Use official resources or position for their own personal benefit, or yours
- Take official actions that would create a conflict for you
- Represent others (unofficially) to the federal government



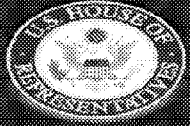
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Resources and Events

*An event can only ever be an official congressional event or an outside group's event*

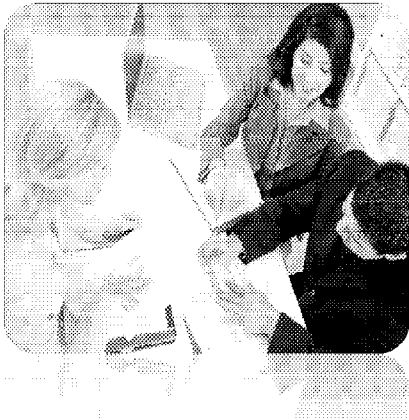
- **Cannot** co-sponsor an official congressional event with any outside group, including a non-profit
- **No** private subsidy for official congressional events
  - **But:** assistance from domestic governmental entities, including public universities is permitted
- No use of official resources for an event sponsored by an outside group
  - **But:** your name may sometimes be used in connection with an outside group's event
- **No** solicitation of an outside group to hold an event for you



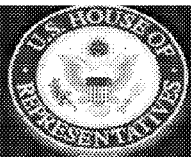
U.S. House of Representatives

# COMMITTEE ON ETHICS

## General Casework



- Members have *broad* discretion in deciding whether and how to assist constituents
- *No* special treatment or “access” for supporters, contributors, or friends
- Avoid *ex parte* communications
- Communications between Members and constituents are considered *confidential*

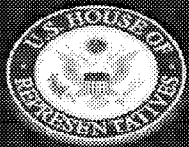


*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Sexual Harassment and Employment Discrimination

- House Rule 23, clause 9 prohibits discharging or refusing to hire an individual, or otherwise discriminating against an individual on the basis of race, color, religion, sex (including marital or parental status), sexual orientation, gender identity, disability, age, or national origin of such individual, including by committing an act of sexual harassment against such individual.
- House Rule 23, clause 18(a) prohibits Members from engaging in a sexual relationship with any employee of the House who works under the supervision of the Member, or who is an employee of a committee on which the Member, serves.
- House Rule 23, clause 18(b) prohibits Members engaging in unwelcome sexual advances or conduct towards another Member, Delegate, Resident Commissioner, officer, or employee of the House.



*U.S. House of Representatives*

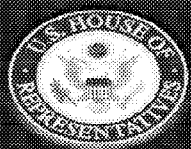
# COMMITTEE ON ETHICS

## Gifts



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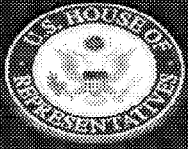


U.S. House of Representatives

COMMITTEE ON ETHICS

## Bribes and Illegal Gratuities

- You *may not* accept a gift that is offered in connection with an official action taken or asked to be taken
  - May be deemed a bribe or improper gratuity under federal criminal law (18 U.S.C. § 201)
  - Items of nominal value are allowed as thank you gifts (*e.g.*, flowers, baked goods, or decorative items)

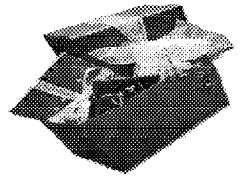


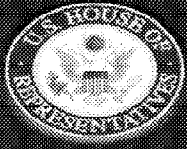
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Gifts

- A gift is almost anything of value, including a discount, tickets to a game, a cup of coffee, a gift card
- The gift rule is written in the negative—cannot accept a gift unless an exception permits acceptance
  - More than 20 exceptions—far fewer exceptions for gifts from federal registered lobbyists or foreign agents
- Before you accept a gift, ask yourself:
  - Can I accept the gift?
  - Do I need prior approval from the Ethics Committee?
  - Do I need to disclose or report the gift (*e.g.*, the Ethics Committee, Clerk, or an FD Statement, etc.)?
- Prior Ethics approval may be required, such as for gifts of personal friendship of more than \$250



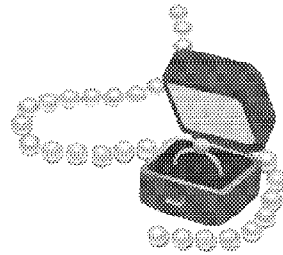


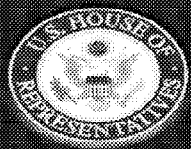
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Gifts

- Gifts from relatives
  - Includes fiancés and in-laws
- Gifts from personal friends
  - Must meet certain criteria
- Gifts from other Members and staff
  - Gifts from employees up the chain only on special occasions
- Gifts related to outside activities
  - May not be offered or enhanced due to House employment
- Gifts from federal, state, or local government
  - Includes public universities





*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Gifts from Foreign Governments

- Foreign Gifts and Decorations Act (FGDA) allows Members and staff to accept a gift of **\$390 or less** from a foreign government
- If the gift is worth more than \$390, you must turn the gift over to the Clerk within 60 days for disposal and file a disclosure form with the Ethics Committee
- With Committee permission, you may be able to retain the gift for official use

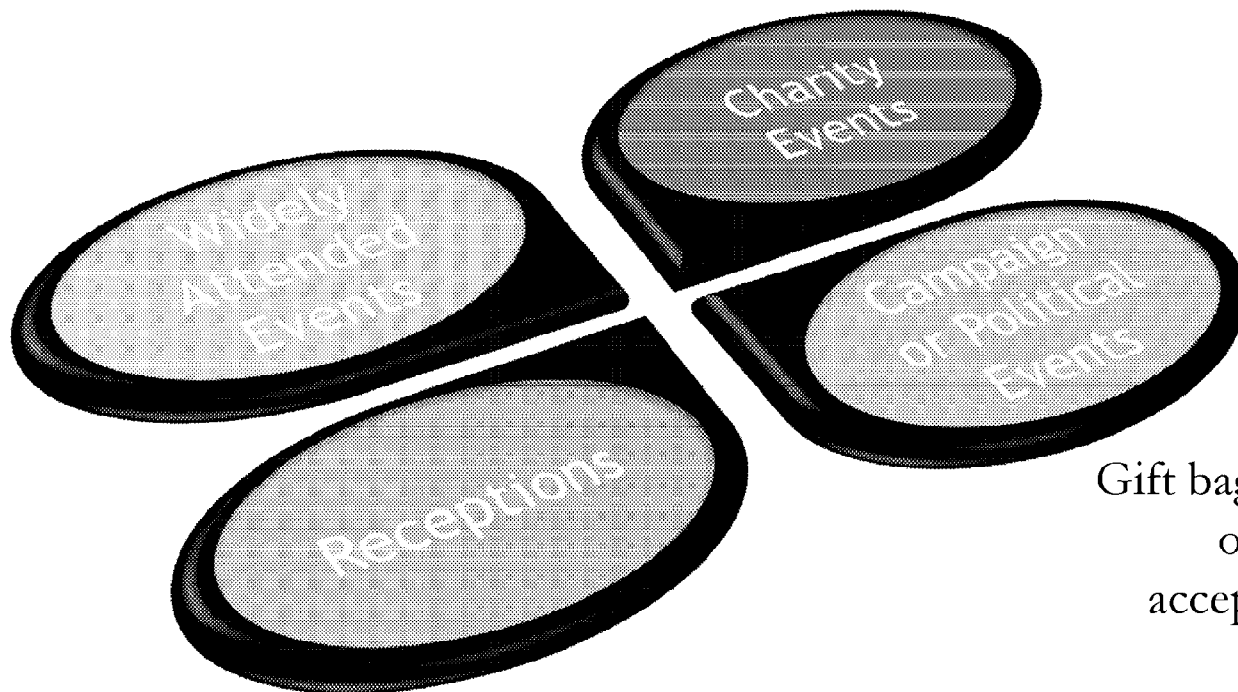


U.S. House of Representatives

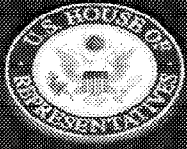
# COMMITTEE ON ETHICS

## Attendance at Events

“Free attendance” at certain types of events may be accepted under the rule:



Gift bags are permitted only if otherwise acceptable under the gift rule



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Widely Attended & Charity Events



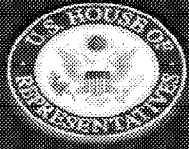
### Widely Attended Events

- Attendance connected to official duties
- Open to the public or at least 25 non-Hill attendees



### Charity Events

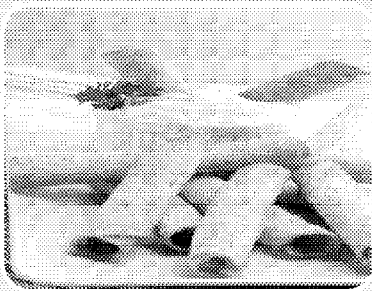
- Sponsored by a 501(c)(3) non-profit
- May accept free attendance only from the sponsor



U.S. House of Representatives

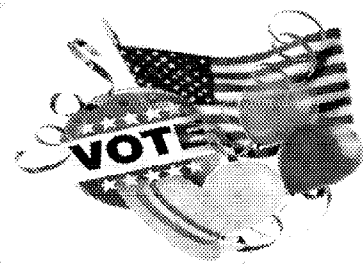
# COMMITTEE ON ETHICS

## Receptions & Campaign Events



### Receptions

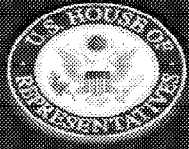
- Food or refreshments of a nominal value
- Cannot constitute a meal



### Campaign or Political Events

- Sponsored by a 527 organization
- Invitation must come directly from the 527





U.S. House of Representatives

# COMMITTEE ON ETHICS

## Solicitations

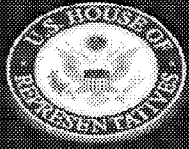
▪ General prohibition *against* most solicitations (5 U.S.C. § 7353)

▪ Permissible charitable solicitations

- Must be in your personal capacity
- On your own time
- Not using official resources
- No solicitations of lobbyists or foreign agents
- No implied official endorsement
- No direct personal benefit to soliciting individual



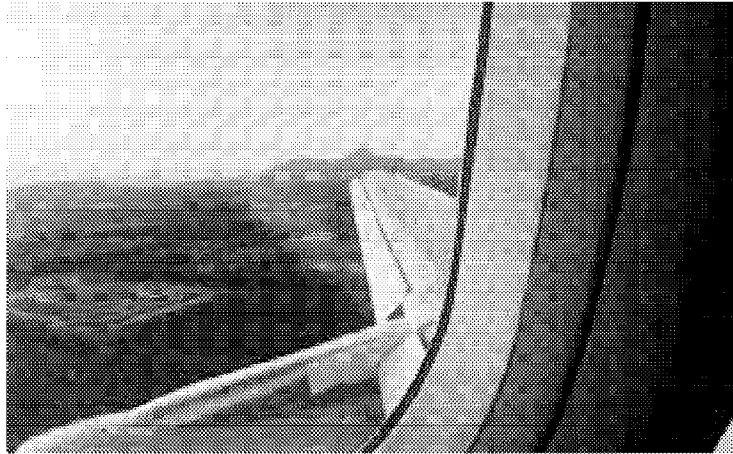




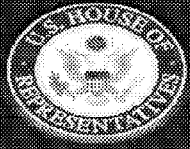
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Travel



COE.OCEREQUEST.000169



## Privately-sponsored Travel

- *Each* traveler must obtain prior, written approval from the Ethics Committee
- Request must be submitted at least *30 days* before start date of the trip



- There are significant restrictions on accepting travel expenses from private entities that *retain or employ* lobbyists or foreign

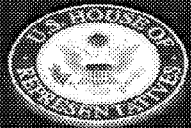
**Slide 19**

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**MS1**

the last paragraph here is also for the next slide (and should be with the next slide)  
Mutschall, Sarah, 10/23/2019

COE.OCEREQUEST.000171



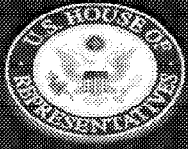
U.S. House of Representatives

COMMITTEE ON ETHICS

## Pre-Approval Exceptions

Committee pre-approval not required for travel paid for using:

- House funds (MRA or committee funds)
- Federal campaign funds, provided your travel is reported to the FEC
- U.S. federal, state, or local government funds
  - Public (state) university funds



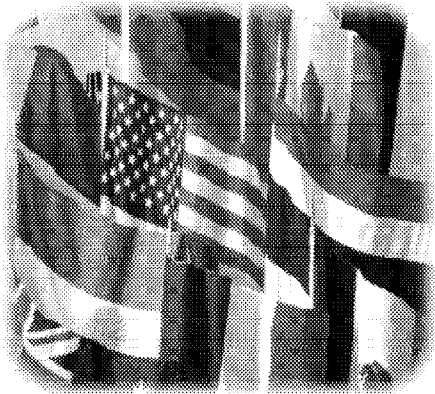
U.S. House of Representatives

# COMMITTEE ON ETHICS

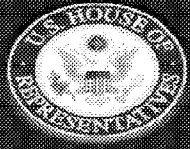
## Travel from Foreign Government

Special rules and disclosure requirements for travel funded by *foreign* governments:

- MECEA (Mutual Educational and Cultural Exchange Act)
- FGDA (Foreign Gifts and Decorations Act)
  - Committee pre-approval not required for either
  - FGDA travel must be reported to Committee on special form within 30 days



COE.OCEREQUEST.000173

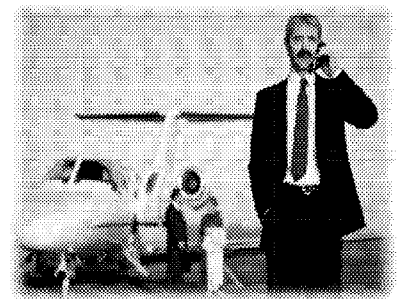


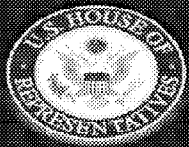
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Private Planes

- Significant restrictions on the use of campaign or personal funds to pay for flights on privately-owned aircraft
- Call the Ethics Committee before flying
- Prior Ethics approval may be required to accept a gift of private plan travel
- Disclosure may be required

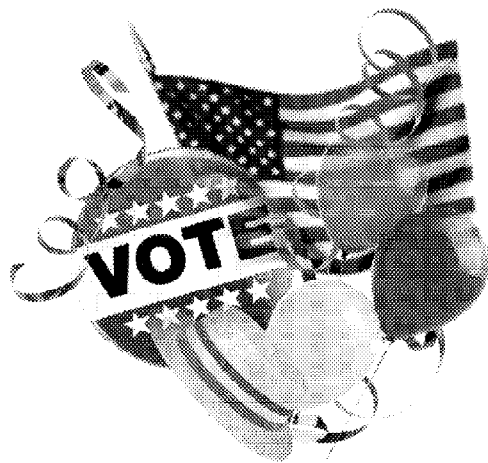




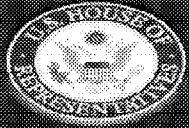
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Campaign Activity



COE.OCEREQUEST.000175



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Campaign Activity



Same Rules  
apply to all  
Members and  
House staff

Rules apply in  
both election  
and  
non-election  
years

Rules generally  
apply to *any*  
campaign  
(Presidential,  
House, local,  
etc.)

Rules apply to  
paid and  
volunteer  
campaign staff





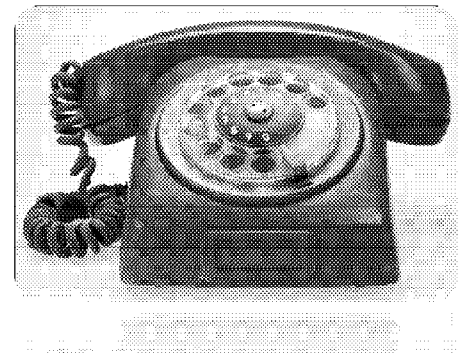
U.S. House of Representatives

COMMITTEE ON ETHICS

## Exceptions for Certain Campaign-Related Activities

Common sense exceptions to the prohibition on use of official resources:

- scheduling
- handling press calls
- referrals to campaign office
- providing official materials





U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Use of Campaign Funds

- **General rule:** Campaign funds may be used for some expenses of a Member's personal office or a committee on which the Member serves
- **Permitted official uses:**



Food at Member office events



Officially-connected travel for Member or staff



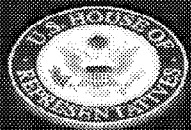
Travel for guest speaker at Member office event



Cell phone or BlackBerry



Car



U.S. House of Representatives

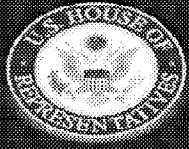
COMMITTEE ON ETHICS

## Impermissible Use of Campaign Funds

Some clearly prohibited personal expenses:

- Normal living expenses (food, clothing, shelter)
- Vacation expenses
- Tickets to shows and sporting events  
(unless part of a bona fide campaign event)
- Country club or health club dues

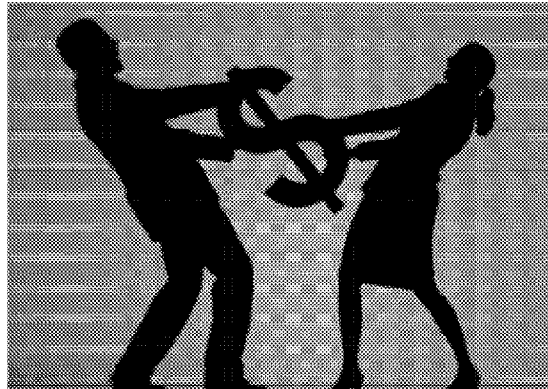
**Members may never borrow from their campaign account**



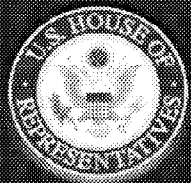
*U.S. House of Representatives*

# COMMITTEE ON ETHICS

## Conflict of Interest



COE.OCEREQUEST.000180

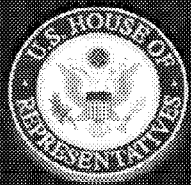


U.S. House of Representatives

# COMMITTEE ON ETHICS

## General Principles

- Do not allow compensation to accrue to your personal benefit from improper use of House position.- House Rule 23, clause 3
- Do not accept benefits for you or your family under circumstances that appear to influence your governmental duties. - Code of Ethics for Government Service ¶5
- No “special favors” to anyone, based on personal, business, or political relationships. - Code of Ethics for Government Service ¶ 5
- Do not use official position or confidential information for personal gain. - Code of Ethics for Government Service ¶ 8
- Do not use official House resources for personal or campaign activities. - 31 U.S.C. § 1301



U.S. House of Representatives

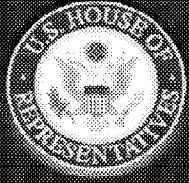
# COMMITTEE ON ETHICS

## Earned Income and Other Restrictions

Members may not—

- All Members are limited in the amount of outside income they may earn (2019: \$28,440)
- Permit a firm that provides fiduciary services to *use your name*
- Receive —
  - compensation for serving as an *officer or director* of any entity
    - Includes both for-profit and non-profit organizations
  - payment for performing services involving a *fiduciary relationship*
- Fiduciary Professions: *Legal, real estate, consulting and advising (including lobbying), insurance, medicine,\* financial services, and similar positions where you hold a position of trust*

*\*Note: There are special rules for Members who are also medical doctors*



U.S. House of Representatives

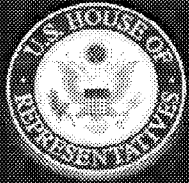
# COMMITTEE ON ETHICS

## Other Outside Activities

Honoraria: Members may not receive an honorarium (*i.e.*, payment for a speech, article, or appearance), but may have up to \$2,000 donated directly to a charity.

Teaching: Members may not teach for compensation unless they first get written permission from the Ethics Committee for each semester of teaching

Writing: Members must receive prior Committee approval for any book contract. Members may not receive an advance on copyright royalties.



U.S. House of Representatives  
COMMITTEE ON ETHICS

## Personal Activity

### **Do Not Contract with Federal Government**

EXCEPT: Certain farm programs excluded. - *Code of Ethics for Government Service* ¶ 7; *18 U.S.C. §§ 431 & 433*; *41 U.S.C. § 6306(a) & (b)*.

### **No Lobbying or Representational Contacts**

Do NOT represent an outside organization in a matter if the Federal government is a party or has an interest.

Do NOT lobby or aid outside organizations in the lobbying of Congress or the Executive Branch.- *18 U.S.C. §§ 203 & 205*; *House Rule 25, clause 6*.

SPOUSE CANNOT lobby you or your staff if, spouse is a registered federal lobbyist. - *House Rule 25, clause 7*.

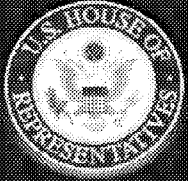
### **Do Not Use Material, Nonpublic Information**

May constitute INSIDER TRADING.

SEC definition of “public” not obvious or clear.

### **Do NOT Participate in an IPO**





U.S. House of Representatives

# COMMITTEE ON ETHICS

## Official Activity

### ▪ Voting in the House

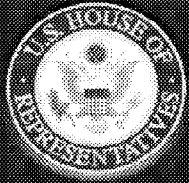
- You **MUST** vote on each question put, **UNLESS** you have a direct
  - personal or pecuniary interest in the matter. - House Rule 3, clause 1.

### ▪ Other House Actions

- You **MUST** use “added circumspection” on all other official actions (sponsoring a bill, advocating for or participating in House committee action, contacting an executive branch agency, etc...).
- Possible Solutions include *recusal or referral to another Member office, committee with jurisdiction, or Senate office.*
- **BUT: do NOT** advocate to that other office.
- **REMINDER: Your staff acts on your behalf and you may be held liable for their actions.**

### ▪ Earmarks & Financial Interest Certification

- You **MUST** certify that neither you nor your spouse has a personal financial interest in a requested earmark or limited tax or tariff benefit. The Committee of jurisdiction over the bill determines if earmark or tariff benefit.



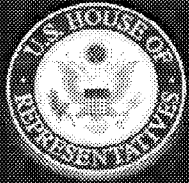
U.S. House of Representatives

# COMMITTEE ON ETHICS

## Post Employment Restrictions

- Former Members may not communicate or appear before the House or Senate on behalf of third party seeking official action for a year
- Current Members and staff *may not* aid former Members and staff in violating the post-employment restrictions
- Members and senior staff must disclose negotiations with private entities
- Members and senior staff may be required to recuse from related official matters



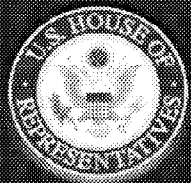


U.S. House of Representatives

# COMMITTEE ON ETHICS

## Financial Disclosure Statements

- Due date is May 15<sup>th</sup>
- You must have at least one employee in your personal office who files an FD. Must be either –
  - senior staff rate (\$127,914) for 60 days or more, or
  - A Principal Assistant: An employee you select to file a financial disclosure (if no employee paid at senior staff rate)
- Committee staff are able to prescreen your FD prior to filing
- You may use your MRA to compensate someone to prepare your FD



U.S. House of Representatives

# COMMITTEE ON ETHICS

## FD and PTR: Whose Assets Must be Reported?

On both annual FD and PTR, report assets (and transactions in assets) owned

wholly or in part by:

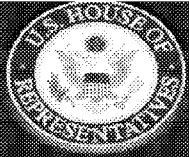
You

Your spouse, or

Your dependent children

Under age 21, unmarried, & living with you (or in college) *or*

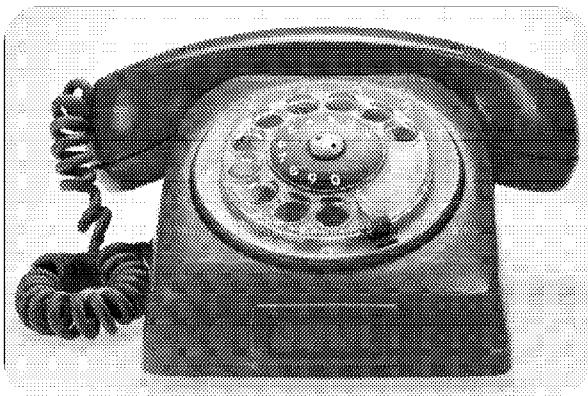
Claimed as dependent on your federal taxes



U.S. House of Representatives

# COMMITTEE ON ETHICS

## Call or Write Before Acting



Committee on Ethics  
1015 Longworth HOB  
Washington, DC 20515  
(202) 225-7103 (phone)  
(202) 225-7392 (fax)  
*website: [ethics.house.gov](http://ethics.house.gov)*

*All communications are confidential  
Good faith reliance on written Committee opinions  
protects you from sanctions under House rules*

# **EXHIBIT 5**

# **Ethics Training for Members-Elect**

**Presented by the Staff of the  
Committee on Ethics  
U.S. House of Representatives**

COE.OCEREQUEST.000269

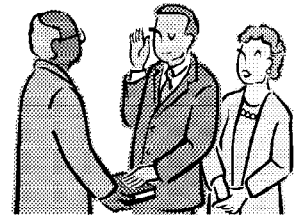


# What is the Ethics Committee and What Does it Do?

- Constitutional Authority: Article I, Section 5 of the U.S. Constitution: “Each House may . . . Punish its Members for disorderly Behavior . . .”
- 10-Members of Congress on a bipartisan committee
- Non-partisan staff:
  - Advise and provide training and guidance on ethics laws, rules, and standards of conduct
    - Seeking advice insulates you from an investigation
    - We keep a record of all inquiries
  - Review Financial Disclosure filings (staff are available to perform prescreens)
  - Investigate possible violations by Members, officers, and employees
  - You can contact the Committee by phone, e-mail, mail, or by walking in person

## Important Benchmarks for New Members

- Members ARE subject to the federal bribery and illegal gratuity statutes BEFORE swearing in
- Members are subject to the House ethics rules and the STOCK ACT UPON swearing in
- Wind down outside business within 90 days
- Staff must attend ethics training within first 60 days
  - We encourage you to request an in-office training for you and your staff
- Annual Financial Disclosure Statement due May 15th



# OFFICIAL RESOURCES

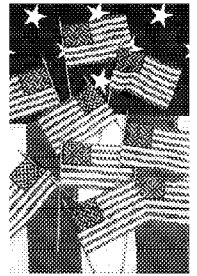


COE.OCEREQUEST.0002/2

## Official Resources

- Official resource is anything paid for with an appropriation (including your staff)
- No personal use of official resources (except *de minimus*)
- No use for campaign activity unless expressly permitted
  
- Official expenses or activities may only be paid from:
  - Appropriated funds (MRA);
  - Member's personal funds; or
  - Member's campaign funds (with certain limits)
- No private donations, funds, or in-kind goods or services are allowed in support of official House activities or expenses.

## Official Resources: Maintain A Bright Line



### Your Official Staff Cannot—

- Contribute to your campaign
- Do campaign work on official time or in official buildings
- Work for free (exceptions for interns, etc.)
- Use their personal funds for official purposes
- Give you gifts (including running personal errands)
- Be required or pressured to volunteer for anything, including your campaign
- Use official resources or position for their own personal benefit, or yours
- Take official actions that would create a conflict for you
- Represent others (unofficially) to the federal government

# Official Resources and Events

***An event can only ever be an official congressional event or an outside group's event***

- **Cannot** co-sponsor an official congressional event with any outside group, including a non-profit
- **No** private subsidy for official congressional events
  - **But:** assistance from domestic governmental entities, including public universities is permitted
- No use of official resources for an event sponsored by an outside group
  - **But:** your name may sometimes be used in connection with an outside group's event
- **No** solicitation of an outside group to hold an event for you

# GIFTS



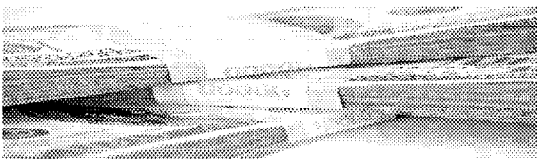
COE.OCEREQUEST.000276

# Bribes and Illegal Gratuities

Benchmark: Applies prior to swearing in

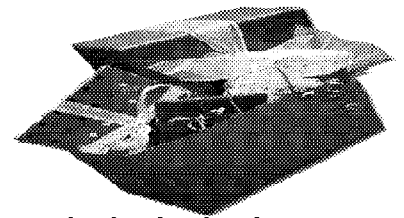
You ***may not*** accept a gift that is offered in connection with an official action taken or asked to be taken

- May be deemed a bribe or improper gratuity under federal criminal law (18 U.S.C. § 201)
- Items of nominal value are allowed as thank you gifts (*e.g.*, flowers, baked goods, or decorative items)





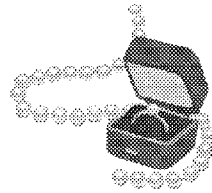
# Gifts



- A gift is almost anything of value, including a discount, tickets to a game, a cup of coffee, a gift card
- The gift rule is written in the negative—cannot accept a gift unless an exception permits acceptance
  - More than 20 exceptions—far fewer exceptions for gifts from federal registered lobbyists or foreign agents
- Before you accept a gift, ask yourself:
  1. Can I accept the gift?
  2. Do I need prior approval from the Ethics Committee?
  3. Do I need to disclose or report the gift (*e.g.*, the Ethics Committee, Clerk, or an FD Statement, etc.)?
- Prior Ethics approval may be required, such as for gifts of personal friendship of more than \$250

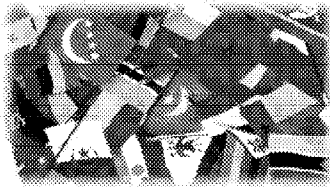
# Categories of Permissible Gifts

- Gifts from relatives
  - Includes fiancés and in-laws
- Gifts from personal friends
  - Must meet certain criteria
- Gifts from other Members and staff
  - Gifts from employees up the chain only on special occasions
- Gifts related to outside activities
  - May not be offered or enhanced due to House employment
- Gifts from federal, state, or local government
  - Includes public universities



## Gifts from Foreign Governments

- Foreign Gifts and Decorations Act (FGDA) allows Members and staff to accept a gift of **\$390 or less** from a foreign government
- If the gift is worth more than \$390, you must turn the gift over to the Clerk within 60 days for disposal and file a disclosure form with the Ethics Committee
- With Committee permission, you may be able to retain the gift for official use



# Solicitations

- General prohibition *against* most solicitations (5 U.S.C. § 7353)



- Permissible charitable solicitations
  - Must be in your personal capacity
  - On your own time
  - Not using official resources
  - No solicitations of lobbyists or foreign agents
  - No implied official endorsement
  - No direct personal benefit to soliciting individual

# TRAVEL



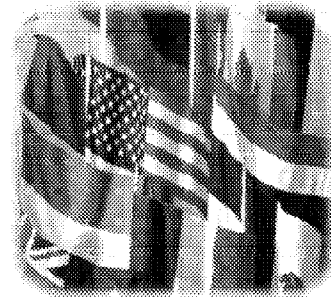
COE.OCEREQUEST.000282

# Privately-Sponsored Travel

- Each traveler must obtain **prior, written approval** from the House Ethics Committee
- Request must be submitted 30 days prior to the trip
- Travel Rules and Forms available on the Committee's Web site
- Committee pre-approval not required for travel paid for using:
  - House funds (MRA or committee funds)
  - Federal, state, or local government funds (includes domestic public university funds)
  - Campaign funds
  - Foreign government funds (only as authorized by law)
  - Travel related to outside employment or activities

# Foreign Government Travel

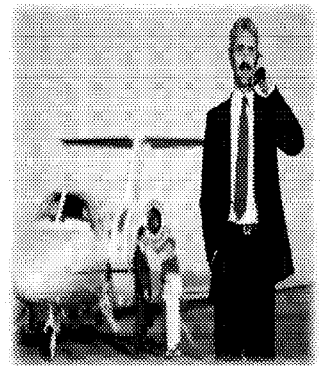
- Special rules and disclosure requirements for travel funded by foreign governments
- Statutes permitting:
  - Mutual Educational and Cultural Exchange Act (MECEA)
  - Foreign Gifts and Decorations Act (FGDA)



Contact Ethics before accepting any foreign government travel

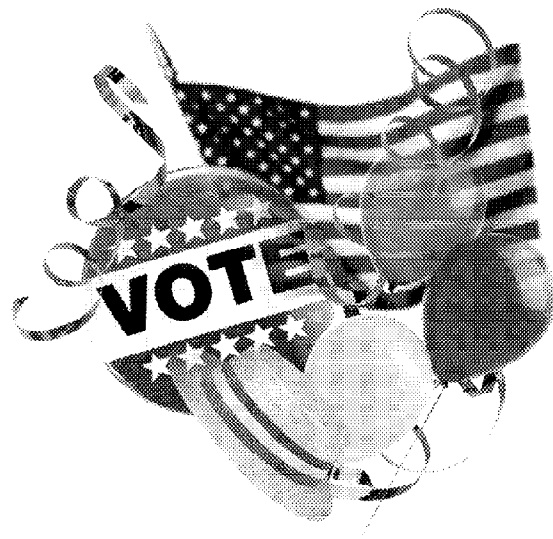
# Private Planes

- Significant restrictions on the use of campaign or personal funds to pay for flights on privately-owned aircraft
- Call the Ethics Committee before flying
- Prior Ethics approval may be required to accept a gift of private plan travel
- Disclosure may be required





# CAMPAIGN ACTIVITY



COE.OCEREQUEST.000286

# Permissible Uses of Campaign Funds During Your Transition

- As a general rule, you may continue to use your campaign funds for *bona fide* expenses you incur in preparing to take office. (Always check with the FEC regarding proper use of campaign funds.)
- Such expenses may include those for
  - Transition staff
  - Transition supplies & equipment
  - Transition office space
  - Travel
  - Expenses incurred in moving to Washington, DC (both office and personal effects)



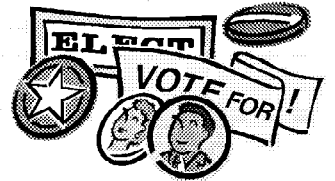
# Campaign Rules Overview

Maintain a bright line between House office and campaign activity

*Limited overlap exceptions:*

- 1. Staff that handle the Member's schedule may coordinate with campaign*
- 2. Press team may answer incidental campaign questions during official interview, but should not initiate discussion of campaign issues*

**Call if ever in doubt**

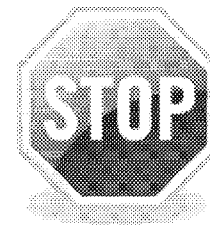


# Official Use of Campaign Funds

**General rule:** Campaign funds may be used for some official expenses—*however*





House Rules specifically **prohibit** Members from using campaign funds for the following official expenses:

- Mail or other communications
- Compensation for services
- Office space
- Furniture
- Equipment & IT services



# Improper Personal Use

Some clearly prohibited personal expenses:

- Normal living expenses (food, clothing, shelter) 
- Vacation expenses 
- Tickets to shows and sporting events (unless part of a bona fide campaign event) 
- Country club or health club dues 

Members may never borrow from their campaign account

# **OUTSIDE BUSINESS OR ACTIVITIES**



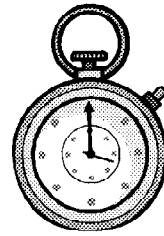
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# Business Interests: Begin Wind-Down NOW

**Benchmark:** Within first 90 days

Start planning your transition now

- *May* need to
  - Change business name,
  - Change business structure, or
  - Sell or divest from a business
- Committee counsel available to discuss your particular situation and requirements



## Earned Income and Other Restrictions

- All Members are limited in the amount of outside income they may earn (2018: \$28,050)

Members may not—

- Permit a firm that provides fiduciary services to ***use your name***
- Receive —
  - compensation for serving as an ***officer or director*** of any entity
    - Includes both for-profit and non-profit organizations
  - payment for performing services involving a ***fiduciary relationship***
- Fiduciary Professions: ***Legal, real estate, consulting and advising (including lobbying), insurance, medicine, \* financial services, and similar positions where you hold a position of trust***

***\*Note: There are special rules for Members who are also medical doctors***



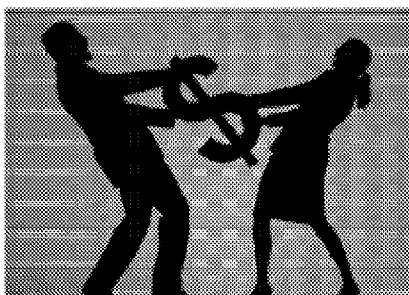
## **Other Outside Activities**

Honoraria: Members may not receive an honorarium (*i.e.*, payment for a speech, article, or appearance), but may have up to \$2,000 donated directly to a charity.

Teaching: Members may not teach for compensation unless they first get written permission from the Ethics Committee for each semester of teaching

Writing: Members must receive prior Committee approval for any book contract. Members may not receive an advance on copyright royalties.

# CONFLICTS OF INTEREST



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## General Principles

- Do not allow compensation to accrue to your personal benefit from improper use of House position.- House Rule 23, clause 3
- Do not accept benefits for you or your family under circumstances that appear to influence your governmental duties. - Code of Ethics for Government Service ¶5
- No "special favors" to anyone, based on personal, business, or political relationships. - Code of Ethics for Government Service ¶ 5
- Do not use official position or confidential information for personal gain. - Code of Ethics for Government Service ¶ 8
- Do not use official House resources for personal or campaign activities. - 31 U.S.C. § 1301

# Official Activity

## Voting in the House

- You **MUST** vote on each question put, **UNLESS** you have a direct personal or pecuniary interest in the matter. - *House Rule 3, clause 1.*



## Other House Actions

- You **MUST** use “added circumspection” on all other official actions (sponsoring a bill, advocating for or participating in House committee action, contacting an executive branch agency, etc...).
- Possible Solutions include *recusal or referral to another Member office, committee with jurisdiction, or Senate office.*  
BUT: **do NOT** advocate to that other office.
- REMINDER: **Your staff acts on your behalf and you may be held liable for their actions.**

## Earmarks & Financial Interest Certification

- You **MUST** certify that neither you nor your spouse has a personal financial interest in a requested earmark or limited tax or tariff benefit. The Committee of jurisdiction over the bill determines if earmark or tariff benefit.

# Personal Activity

## **Do Not Contract with Federal Government**

- EXCEPT: Certain farm programs excluded. - Code of Ethics for Government Service ¶ 7, 18 U.S.C. §§ 431 & 433; 41 U.S.C. § 6306(a) & (b).

## **No Lobbying or Representational Contacts**

- Do NOT represent an outside organization in a matter if the Federal government is a party or has an interest.
- Do NOT lobby or aid outside organizations in the lobbying of Congress or the Executive Branch.- 18 U.S.C. §§ 203 & 205; House Rule 25, clause 6.
- SPOUSE CANNOT lobby you or your staff if, spouse is a registered federal lobbyist. - House Rule 25, clause 7.

## **Do Not Use Material, Nonpublic Information**

- May constitute INSIDER TRADING.
- SEC definition of "public" not obvious or clear.

## **Do NOT Participate in an IPO**

**Benchmark:** Members are subject to the STOCK ACT UPON swearing in

# Post-Employment Restrictions

- Former Members may not communicate or appear before the House or Senate on behalf of third party seeking official action for a year
- Current Members and staff ***may not*** aid former Members and staff in violating the post-employment restrictions
- Members and senior staff must disclose negotiations with private entities
- Members and senior staff may be required to recuse from related official matters

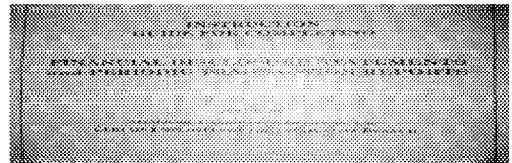
# FINANCIAL DISCLOSURE



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# Financial Disclosure Statements

- **Benchmark: Must file each May 15**
- Additional reporting requirements for Member FD versus candidate FD:
  - Transactions
  - Liabilities on personal residence
  - Gifts & travel received *after* sworn in to Congress
- You must have at least one employee in your personal office who files an FD. Must be either -
  - senior staff rate (\$126,148) for 60 days or more, or
  - A Principal Assistant: An employee you select to file a financial disclosure (if no employee paid at senior staff rate)
- Committee staff are able to prescreen your FD prior to filing
- You may use your MRA to compensate someone to prepare your FD



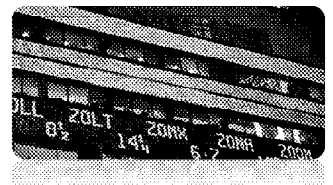


# Periodic Transaction Reports (PTRs)

**Benchmark: Applies to transactions executed on or after your swearing-in date**

- Requirement applies to Members and senior staff
- Reporting of securities transactions only (stocks, bonds, options, futures, other securities) and only transactions valued at more than \$1,000
- Transactions reported on the PTR must also be reported on the annual FD
- You must file a PTR *not more than 45 days* from the date of the transaction
- Graduated late fee structure for late PTRs—can result in thousands of dollars in late fees (!)

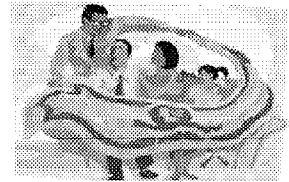
**NO EXTENSIONS ALLOWED!**  
**Do not file a report of "no activity"**



## **FD and PTR: Whose Assets Must be Reported?**

On both annual FD and PTR, report assets (and transactions in assets) owned wholly or in part by:

- You
- Your spouse, or
- Your dependent children
  - Under age 21, unmarried, & living with you (or in college) *or*
  - Claimed as dependent on your federal taxes



# Call or Write Before Acting

## **House Committee on Ethics**

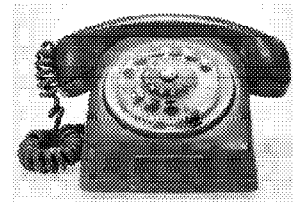
Office of Advice and Education

1015 Longworth House Office Building

Washington, DC 20515

(202) 225-7103 (office) (202) 225-7392 (fax)

[www.ethics.house.gov](http://www.ethics.house.gov)



- All communications are confidential
  - Law states that no one is placed at risk by seeking Committee advice about future conduct
  - Good faith reliance on written Committee opinions protects you from sanctions under House rules

# **EXHIBIT 6**

<u>PTR Filing</u>			<u>Reported</u>	<u>Reported</u>		<u>Days From</u>	<u>Days from</u>		<u>Grace</u>
<u>Date</u>	<u>Asset</u>	<u>Transaction Type</u>	<u>Transaction</u>	<u>Notification</u>	<u>Amount of Transaction</u>	<u>to Filing</u>	<u>to Filing</u>	<u>Late?</u>	<u>Period</u>
			<u>Date</u>	<u>Date</u>					<u>Violation?</u>
6/17/2021	Amazon.com, Inc. (AMZN) [ST]	Sale	1/19/2021	1/19/2021	\$1,001 - \$15,000	149	149	Y	Y
6/17/2021	Amazon.com, Inc. (AMZN) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	Amazon.com, Inc. (AMZN) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	Amazon.com, Inc. (AMZN) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Amazon.com, Inc. (AMZN) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Purchase	2/23/2021	2/23/2021	\$100,001 - \$250,000	114	114	Y	Y
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	3/22/2021	3/22/2021	\$100,001 - \$250,000	87	87	Y	Y
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Purchase	3/23/2021	3/23/2021	\$100,001 - \$250,000	86	86	Y	Y
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Purchase	4/20/2021	4/20/2021	\$100,001 - \$250,000	58	58	Y	N
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Apple Inc. (AAPL) [ST]	Purchase	1/19/2021	1/19/2021	\$500,001 - \$1,000,000	149	149	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	1/19/2021	1/19/2021	\$15,001 - \$50,000	149	149	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Purchase	2/22/2021	2/22/2021	\$100,001 - \$250,000	115	115	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	2/22/2021	2/22/2021	\$1,001 - \$15,000	115	115	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Purchase	2/23/2021	2/23/2021	\$100,001 - \$250,000	114	114	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	4/19/2021	4/19/2021	\$500,001 - \$1,000,000	59	59	Y	N
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	4/19/2021	4/19/2021	\$250,001 - \$500,000	59	59	Y	N
6/17/2021	Apple Inc. (AAPL) [ST]	Purchase	4/20/2021	4/20/2021	\$250,001 - \$500,000	58	58	Y	N
6/17/2021	Apple Inc. (AAPL) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Applied Materials, Inc. (AMAT) [ST]	Purchase	4/5/2021	4/5/2021	\$50,001 - \$100,000	73	73	Y	Y
6/17/2021	Applied Materials, Inc. (AMAT) [ST]	Purchase	4/5/2021	4/5/2021	\$50,001 - \$100,000	73	73	Y	Y
6/17/2021	Applied Materials, Inc. (AMAT) [ST]	Sale	4/5/2021	4/5/2021	\$1,001 - \$15,000	73	73	Y	Y
6/17/2021	Applied Materials, Inc. (AMAT) [ST]	Sale	4/19/2021	4/19/2021	\$50,001 - \$100,000	59	59	Y	N
6/17/2021	Boeing Company (BA) [ST]	Purchase	1/19/2021	1/19/2021	\$100,001 - \$250,000	149	149	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Sale	1/19/2021	1/19/2021	\$1,001 - \$15,000	149	149	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Sale	2/22/2021	2/22/2021	\$100,001 - \$250,000	115	115	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Purchase	2/23/2021	2/23/2021	\$100,001 - \$250,000	114	114	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Sale	3/19/2021	3/19/2021	\$15,001 - \$50,000	90	90	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Sale	3/22/2021	3/22/2021	\$100,001 - \$250,000	87	87	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Purchase	4/5/2021	4/5/2021	\$100,001 - \$250,000	73	73	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Sale	4/5/2021	4/5/2021	\$1,001 - \$15,000	73	73	Y	Y
6/17/2021	Boeing Company (BA) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Caterpillar, Inc. (CAT) [ST]	Sale	4/19/2021	4/19/2021	\$1,001 - \$15,000	59	59	Y	N
6/17/2021	Caterpillar, Inc. (CAT) [ST]	Purchase	4/20/2021	4/20/2021	\$100,001 - \$250,000	58	58	Y	N
6/17/2021	Chevron Corporation (CVX) [ST]	Purchase	2/23/2021	2/23/2021	\$50,001 - \$100,000	114	114	Y	Y
6/17/2021	Chevron Corporation (CVX) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	Chevron Corporation (CVX) [ST]	Sale	3/22/2021	3/22/2021	\$50,001 - \$100,000	87	87	Y	Y
6/17/2021	Chevron Corporation (CVX) [ST]	Purchase	4/5/2021	4/5/2021	\$100,001 - \$250,000	73	73	Y	Y
6/17/2021	Chevron Corporation (CVX) [ST]	Sale	4/5/2021	4/5/2021	\$1,001 - \$15,000	73	73	Y	Y
6/17/2021	Chevron Corporation (CVX) [ST]	Purchase	4/20/2021	4/20/2021	\$100,001 - \$250,000	58	58	Y	N
6/17/2021	Chevron Corporation (CVX) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Chevron Corporation (CVX) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Facebook, Inc. - Class A (FB) [ST]	Purchase	2/23/2021	2/23/2021	\$250,001 - \$500,000	114	114	Y	Y
6/17/2021	Facebook, Inc. - Class A (FB) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	Facebook, Inc. - Class A (FB) [ST]	Sale	3/22/2021	3/22/2021	\$250,001 - \$500,000	87	87	Y	Y
6/17/2021	Facebook, Inc. - Class A (FB) [ST]	Purchase	4/20/2021	4/20/2021	\$100,001 - \$250,000	58	58	Y	N
6/17/2021	Facebook, Inc. - Class A (FB) [ST]	Purchase	4/20/2021	4/20/2021	\$15,001 - \$50,000	58	58	Y	N
6/17/2021	Facebook, Inc. - Class A (FB) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	FedEx Corporation (FDX) [ST]	Purchase	1/19/2021	1/19/2021	\$250,001 - \$500,000	149	149	Y	Y
6/17/2021	FedEx Corporation (FDX) [ST]	Sale	1/19/2021	1/19/2021	\$1,001 - \$15,000	149	149	Y	Y
6/17/2021	FedEx Corporation (FDX) [ST]	Sale	2/22/2021	2/22/2021	\$1,001 - \$15,000	115	115	Y	Y
6/17/2021	FedEx Corporation (FDX) [ST]	Sale	3/22/2021	3/22/2021	\$250,001 - \$500,000	87	87	Y	Y
6/17/2021	FedEx Corporation (FDX) [ST]	Purchase	3/23/2021	3/23/2021	\$250,001 - \$500,000	86	86	Y	Y
6/17/2021	FedEx Corporation (FDX) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y

6/17/2021	FedEx Corporation (FDX) [ST]	Sale	4/19/2021	4/19/2021	\$250,001 - \$500,000	59	59	Y	N
6/17/2021	Microsoft Corporation (MSFT) [ST]	Purchase	1/19/2021	1/19/2021	\$500,001 - \$1,000,000	149	149	Y	Y
6/17/2021	Microsoft Corporation (MSFT) [ST]	Sale	1/19/2021	1/19/2021	\$15,001 - \$50,000	149	149	Y	Y
6/17/2021	Microsoft Corporation (MSFT) [ST]	Sale	2/17/2021	2/17/2021	\$500,001 - \$1,000,000	120	120	Y	Y
6/17/2021	Microsoft Corporation (MSFT) [ST]	Purchase	2/23/2021	2/23/2021	\$250,001 - \$500,000	114	114	Y	Y
6/17/2021	Microsoft Corporation (MSFT) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	Microsoft Corporation (MSFT) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	Microsoft Corporation (MSFT) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	Microsoft Corporation (MSFT) [ST]	Sale	4/19/2021	4/19/2021	\$250,001 - \$500,000	59	59	Y	N
6/17/2021	PayPal Holdings, Inc. (PYPL) [ST]	Purchase	1/19/2021	1/19/2021	\$100,001 - \$250,000	149	149	Y	Y
6/17/2021	PayPal Holdings, Inc. (PYPL) [ST]	Sale	1/19/2021	1/19/2021	\$1,001 - \$15,000	149	149	Y	Y
6/17/2021	PayPal Holdings, Inc. (PYPL) [ST]	Sale	2/22/2021	2/22/2021	\$100,001 - \$250,000	115	115	Y	Y
6/17/2021	PayPal Holdings, Inc. (PYPL) [ST]	Purchase	2/23/2021	2/23/2021	\$250,001 - \$500,000	114	114	Y	Y
6/17/2021	PayPal Holdings, Inc. (PYPL) [ST]	Sale	2/23/2021	2/23/2021	\$1,001 - \$15,000	114	114	Y	Y
6/17/2021	PayPal Holdings, Inc. (PYPL) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	PayPal Holdings, Inc. (PYPL) [ST]	Sale	4/19/2021	4/19/2021	\$250,001 - \$500,000	59	59	Y	N
6/17/2021	UnitedHealth Group Incorporated Common Stock (UNH) [ST]	Purchase	4/5/2021	4/5/2021	\$100,001 - \$250,000	73	73	Y	Y
6/17/2021	UnitedHealth Group Incorporated Common Stock (UNH) [ST]	Sale	4/5/2021	4/5/2021	\$1,001 - \$15,000	73	73	Y	Y
6/17/2021	UnitedHealth Group Incorporated Common Stock (UNH) [ST]	Sale	4/19/2021	4/19/2021	\$100,001 - \$250,000	59	59	Y	N
6/17/2021	Verizon Communications Inc. (VZ) [ST]	Purchase	3/23/2021	3/23/2021	\$100,001 - \$250,000	86	86	Y	Y
6/17/2021	Verizon Communications Inc. (VZ) [ST]	Sale	3/23/2021	3/23/2021	\$1,001 - \$15,000	86	86	Y	Y
6/17/2021	Verizon Communications Inc. (VZ) [ST]	Sale	4/7/2021	4/7/2021	\$100,001 - \$250,000	71	71	Y	Y
6/17/2021	Verizon Communications Inc. (VZ) [ST]	Sale	4/8/2021	4/8/2021	\$15,001 - \$50,000	70	70	Y	Y
6/17/2021	Verizon Communications Inc. (VZ) [ST]	Purchase	4/20/2021	4/20/2021	\$250,001 - \$500,000	58	58	Y	N
6/17/2021	Verizon Communications Inc. (VZ) [ST]	Purchase	4/20/2021	4/20/2021	\$15,001 - \$50,000	58	58	Y	N
6/17/2021	Verizon Communications Inc. (VZ) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Walt Disney Company (DIS) [ST]	Purchase	4/5/2021	4/5/2021	\$50,001 - \$100,000	73	73	Y	Y
6/17/2021	Walt Disney Company (DIS) [ST]	Sale	4/5/2021	4/5/2021	\$1,001 - \$15,000	73	73	Y	Y
6/17/2021	Walt Disney Company (DIS) [ST]	Purchase	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Walt Disney Company (DIS) [ST]	Purchase	4/20/2021	4/20/2021	\$100,001 - \$250,000	58	58	Y	N
6/17/2021	Walt Disney Company (DIS) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
6/17/2021	Walt Disney Company (DIS) [ST]	Sale	4/20/2021	4/20/2021	\$1,001 - \$15,000	58	58	Y	N
7/2/2021	Amazon.com, Inc. (AMZN) [ST]	Purchase	5/21/2021	5/21/2021	\$1,001 - \$15,000	42	42	Y	N
7/2/2021	Amazon.com, Inc. (AMZN) [ST]	Sale	5/21/2021	5/21/2021	\$1,001 - \$15,000	42	42	Y	N
7/2/2021	Amazon.com, Inc. (AMZN) [ST]	Sale	5/26/2021	5/26/2021	\$1,001 - \$15,000	37	37	Y	N
7/2/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	5/24/2021	5/24/2021	\$100,001 - \$250,000	39	39	Y	N
7/2/2021	American Airlines Group, Inc. (AAL) [ST]	Purchase	5/26/2021	5/26/2021	\$50,001 - \$100,000	37	37	Y	N
7/2/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	5/26/2021	5/26/2021	\$1,001 - \$15,000	37	37	Y	N
7/2/2021	American Airlines Group, Inc. (AAL) [ST]	Sale	5/26/2021	5/26/2021	\$1,001 - \$15,000	37	37	Y	N
7/2/2021	Caterpillar, Inc. (CAT) [ST]	Sale	5/24/2021	5/24/2021	\$100,001 - \$250,000	39	39	Y	N
7/2/2021	Chevron Corporation (CVX) [ST]	Sale	5/18/2021	5/18/2021	\$100,001 - \$250,000	45	45	Y	N
7/2/2021	Chevron Corporation (CVX) [ST]	Sale	5/18/2021	5/18/2021	\$100,001 - \$250,000	45	45	Y	N
7/2/2021	Chevron Corporation (CVX) [ST]	Purchase	5/27/2021	5/27/2021	\$100,001 - \$250,000	36	36	Y	N
7/2/2021	Chevron Corporation (CVX) [ST]	Sale	5/27/2021	5/27/2021	\$1,001 - \$15,000	36	36	Y	N
7/2/2021	Deere & Company (DE) [ST]	Purchase	5/27/2021	5/27/2021	\$100,001 - \$250,000	36	36	Y	N
7/2/2021	Deere & Company (DE) [ST]	Sale	5/27/2021	5/27/2021	\$1,001 - \$15,000	36	36	Y	N
7/2/2021	Facebook, Inc. - Class A (FB) [ST]	Sale	5/24/2021	5/24/2021	\$100,001 - \$250,000	39	39	Y	N
7/2/2021	FedEx Corporation (FDX) [ST]	Purchase	5/27/2021	5/27/2021	\$100,001 - \$250,000	36	36	Y	N
7/2/2021	FedEx Corporation (FDX) [ST]	Sale	5/27/2021	5/27/2021	\$1,001 - \$15,000	36	36	Y	N
7/2/2021	KKR & Co. Inc. (KKR) [ST]	Purchase	1/13/2021	6/29/2021	\$15,001 - \$50,000	170	3	Y	Y
7/2/2021	KKR & Co. Inc. (KKR) [ST]	Purchase	5/3/2021	6/29/2021	\$15,001 - \$50,000	60	3	Y	N
7/2/2021	Microsoft Corporation (MSFT) [ST]	Purchase	5/26/2021	5/26/2021	\$250,001 - \$500,000	37	37	Y	N
7/2/2021	Microsoft Corporation (MSFT) [ST]	Sale	5/26/2021	5/26/2021	\$1,001 - \$15,000	37	37	Y	N
7/2/2021	Owl Rock Capital Corporation (ORCC) [ST]	Purchase	3/16/2021	6/29/2021	\$1,001 - \$15,000	108	3	Y	Y
7/2/2021	Salesforce.com Inc (CRM) [ST]	Sale	5/27/2021	5/27/2021	\$1,001 - \$15,000	36	36	Y	N
7/2/2021	Southwest Airlines Company (LUV) [ST]	Purchase	5/27/2021	5/27/2021	\$100,001 - \$250,000	36	36	Y	N
7/2/2021	Southwest Airlines Company (LUV) [ST]	Sale	5/27/2021	5/27/2021	\$1,001 - \$15,000	36	36	Y	N
7/2/2021	Verizon Communications Inc. (VZ) [ST]	Sale	5/26/2021	5/26/2021	\$1,001 - \$15,000	37	37	Y	N
8/18/2021	Verizon Communications Inc. (VZ) [ST]	Purchase	7/6/2021	7/6/2021	\$100,001 - \$250,000	43	43	Y	N
8/18/2021	Walt Disney Company (DIS) [ST]	Sale	7/15/2021	7/15/2021	\$1,001 - \$15,000	34	34	Y	N
12/29/2021	Owl Rock Capital Corporation (ORCC) [ST]	Purchase	9/28/2021	12/23/2021	\$50,001 - \$100,000	92	6	Y	Y

# **EXHIBIT 7**

*We will never forget*

PATRICK E. FALLON  
SUSAN G. FALLON

37-65/1119 2149

15 Aug 21

Date

Pay to the order of US Treasury to the Legislative Resource Center \$ 400<sup>00/100</sup>  
Four hundred & 00/100 Dollars



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*Freedom is not free*

PATRICK E. FALLON  
SUSAN G. FALLON

37-65/1119 2149

15 Aug 21

Date

Pay to the order of U.S. Treasury to the Legislative Resource Center \$ 200<sup>00/100</sup>  
Two hundred & 00/100 Dollars



Wells Fargo Bank, N.A.  
Texas  
wellsfargo.com

BELIEVE IN YOURSELF

For JUNE PTR Late Filing Fee

[Redacted]

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