OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Report and Findings

Transmitted to the Committee on Standards of Official Conduct on June 8, 2009 and released publicly pursuant to H. Res. 895 of the 110th Congress as amended

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June 2009
OFFICE OF
CONGRESSIONAL ETHICS
BOARD
UNITED STATES HOUSE OF REPRESENTATIVES
ONE HUNDRED ELEVENTH CONGRESS

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REPORT

Review No. 09–6333

The Board of the Office of Congressional Ethics, by a vote of no less than four members, on May 29, 2009 adopted the following report and ordered it to be transmitted to the Committee on Standards of Official Conduct of the U.S. House of Representatives.

SUBJECT: Representative Charles Rangel

NATURE OF THE ALLEGED VIOLATION: There is substantial reason to believe that Congressman Charles Rangel's participation in the 13th Annual Caribbean Multi-National Business Conference in St. Maarten, N.A. from November 7–9, 2008, his acceptance of reimbursement of expenses to attend that conference and the Member Post Travel Disclosure Form he filed violated various provisions of House Rule XXV Section 5(b).

RECOMMENDATION: The Board of the Office of Congressional Ethics recommends that the Committee on Standards of Official Conduct further review the above described allegations concerning Congressman Rangel.

VOTES IN THE AFFIRMATIVE: 6
VOTES IN THE NEGATIVE: 0

MEMBER OF THE BOARD OR STAFF DESIGNATED TO PRESENT THIS REPORT TO THE STANDARDS COMMITTEE: Leo Wise, Staff Director & Chief Counsel.
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FINDINGS OF FACT AND CITATIONS TO LAW

REVIEW NO. 09–6333

On May 29, 2009 the Board adopted the following findings of fact and accompanying citations to law, regulations, rules and standards of conduct (in italics). The Board notes that these findings do not constitute a determination that a violation actually occurred.

I. INTRODUCTION


A. SUMMARY OF ALLEGATIONS

2. There is substantial reason to believe that Congressman Rangel violated the requirement that he identify the “true, correct and accurate” sponsor of his travel “to the best of his knowledge” on his Member Post Travel Disclosure Form. While forms submitted to his office and the Standards Committee before the conference identified one entity as the sponsor—the Carib News Foundation—once at the conference, Congressman Rangel was presented with indications that other corporations—including Citigroup, IBM, AT&T, Pfizer, Macy’s and Verizon Foundation—were also sponsors. Those indications proved to be true—the corporations were in fact sponsors of Congressman Rangel’s travel according to House travel rules because the corporations had donated funds specifically for the conference (i.e. earmarked funds). Further, events that occurred in 2007 affected the Standards Committee’s ability to determine whether these corporations were sponsors in 2008:

   a. In 2007, the House of Representatives changed the rules governing travel. Those changes placed limitations on the number of days Members of Congress could participate in events (such as conferences) when their travel was sponsored by an entity that employs or retains a lobbyist. These changes affected the annual Caribbean Multi-National Business Conference. In 2007, the Carib News Foundation continued to identify various corporations as sponsors on the conference agenda and on a draft version of the Private Sponsor Travel Certification Form prepared for submission to the Standards Committee for approval. However, after interacting with the counsel to the then-Chair of the Standards Committee, and apparently without the knowledge of the staff attorney reviewing the trip, the documents identifying these corporations as “sponsors” were changed and their sponsorship was not disclosed.

   b. The 2007 conduct and attendant misrepresentations appear to have directly influenced what occurred in 2008. When
the Carib News Foundation submitted materials to the Standards Committee for their approval of the 2008 conference, the Carib News Foundation took the same approach as they were instructed to take in 2007 and did not disclose the role of the corporate sponsors on the forms they submitted to the Standards Committee.

3. There is substantial reason to believe that Congressman Rangel violated House Rule 25, clause 5(b)(1)(C) by accepting trip-related reimbursements from entities that employ or retain lobbyists for participating in an event for more than one day.

4. There is substantial reason to believe that Congressman Rangel violated House Rule 25 clause 5(h)(i)(1)(B) by underreporting the value of the travel reimbursements he received to attend the 13th Annual Caribbean Multi-National Business Conference.

5. There is substantial reason to believe that the Carib News Foundation’s payment of travel expenses for Representative Rangel and his acceptance of payment violated the Internal Revenue Code. As stated above, Carib News Charities, the name previously held by the 501(c) organization now known as the Carib News Foundation, is listed as a private foundation in the Internal Revenue’s cumulative list of charitable organizations, Publication 78. Therefore, the Standards Committee should not have approved the trip because the funds came from a prohibited source.

B. A NOTE ON CULPABILITY

6. These findings fall into three categories: (1) the sponsor or sponsors, as the case appears to be, of the conference; (2) the intervention of the counsel to the former Chair of the Standards Committee in the Standards Committee’s review process of the conference in 2007 and how it affected the information before the Standards Committee in 2008; (3) the accuracy of the value of the reimbursement submitted by Congressman Rangel and (4) whether, because of its tax status, the Carib News Foundation could lawfully pay for Congressman Rangel’s conference-related expenses.

7. While all these topics are relevant, the Board notes that they do not all involve conduct by Congressman Rangel to the same degree.

a. As to topic 1, determining the identity of the true sponsor or sponsors implicates the conduct of both Congressman Rangel and the Standards Committee. Congressman Rangel told the OCE he saw no evidence of corporate sponsorship at the conference. However, the evidence strongly suggests the Member’s statement is not credible. Once Congressman Rangel arrived at the conference, he was almost certainly confronted with information that other corporations were co-sponsors. As such, he had a responsibility to inform the Standards Committee as that information, at least in 2008, does not appear to have been before the Standards Committee when they initially approved the 2008 travel.

b. As to topic 2, the intervention of the counsel to the former Chair of the Standards Committee in the Standards Committee’s review of the 2007 conference did not involve Congressman Rangel. Nonetheless, it directly bears on whether and to
what extent the Standards Committee could determine the true sponsor of the conference in 2008.

c. As to topic 3, the accuracy of the information Congressman Rangel provided as to the value of the reimbursement of his conference-related expenses most directly implicates his conduct. The post-travel disclosure form that all Members must file when they accept privately sponsored travel is signed and certified by Members. The form puts the obligation on Members, not staff, not the Standards Committee and not sponsors, to certify that the information on the form is “true, accurate and complete” to the “best of the Member’s knowledge.” Congressman Rangel stated that while he certified the information on the post-travel disclosure form, he was unaware of the accuracy of the information he certified.

d. As to topic 4, limitations on Carib News Foundation’s ability to pay for overseas travel of government officials, Congressman Rangel told the OCE he was unaware of any such limitations. The Board finds this statement to be credible. Nonetheless, the law prohibits such payments. Therefore, the Board feels compelled to include a discussion of this issue in this referral.

C. JURISDICTIONAL STATEMENT

8. The allegations that are the subject of this review concern Representative Charles Rangel, a Member of the United States House of Representatives from the 15th District of New York. The Resolution the United States House of Representatives adopted creating the Office of Congressional Ethics directs that, “[n]o review shall be undertaken . . . by the board of any alleged violation that occurred before the date of adoption of this resolution.” The House adopted this Resolution on March 11, 2008. Because the conduct under review occurred or relates to actions taken after March 11, 2008, review by the Office of Congressional Ethics is in accordance with the Resolution.

D. PROCEDURAL HISTORY

9. The OCE received a written request for a preliminary review in this matter signed by at least two members of the Board on March 6, 2009. The preliminary review commenced on this date. The preliminary review was scheduled to end on April 5, 2009.

10. At least three members of the Board voted to initiate a second-phase review in this matter on March 27, 2009. The second-phase review commenced on April 6, 2009. The second-phase review was scheduled to end on May 21, 2009.

11. The Board voted to extend the 45-day second-phase review by an additional 14 days, as provided for under the Resolution, on

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1 House Resolution 895 of the 110th Congress, Section 1(e).
2 A preliminary review is “requested” in writing by members of the Board of the OCE. The request for a preliminary review is “received” by the OCE on a date certain. According to H. Res. 895 of the 110th Congress (hereafter “the Resolution”), the timeframe for conducting a preliminary review is 30 days from the date of receipt of the Board’s request.
3 According to the Resolution, the Board must vote on whether to conduct a second-phase review in a matter before the expiration of the 30-day preliminary review. If the Board votes for a second-phase, the second-phase begins when the preliminary review ends. The second-phase review does not begin on the date of the Board vote.
April 24, 2009. Following the extension, the second-phase review was scheduled to end on June 5, 2009.
13. The Board voted to refer the matter to the Standards Committee for further review on May 29, 2009.
14. The OCE requested documents from and interviews with representatives of:
   (1) Representative Sheila Jackson-Lee’s Congressional office;  
   (2) the Verizon Foundation;  
   (3) Citibank;  
   (4) American Airlines;  
   (5) IBM;  
   (6) Macy’s, Inc;  
   (7) Pfizer;  
   (8) AT&T;  
   (9) Representative Kilpatrick’s Congressional office;  
   (10) Representative Payne’s Congressional office;  
   (11) Representative Rangel’s Congressional office;  
   (12) Representative Thompson’s Congressional office;  
   (13) Delegate Christensen’s Congressional office;  
   (14) The Carib News; and  
   (15) The Carib News Foundation

II. MULTIPLE ENTITIES, INCLUDING CARIB NEWS (THE NEWSPAPER), THE GOVERNMENT OF ST. MAARTEN AND SEVERAL CORPORATIONS, SPONSORED REPRESENTATIVE RANGEL’S TRIP

15. Under House Rule 25 clause 5(d), Members are required to obtain prior approval of the Standards Committee for trips where the Member’s travel expenses will be reimbursed by a private source. The Standards Committee has adopted regulations, pursuant to House Rule 25 clause 5(h)(i)(1)(B)\(^4\) that requires Members to identify the “sponsor(s),” i.e. the party reimbursing travel expenses, for any trip where the payor is a private entity.

16. There is substantial reason to believe that Congressman Rangel violated the requirement that he identify the “true, correct and accurate” sponsor of his travel “to the best of his knowledge” on his Member Post Travel Disclosure Form. While forms submitted to his and the Standards Committee before the conference identified one sponsor—the Carib News Foundation—once at the conference, Congressman Rangel was presented with evidence that other corporations were also sponsors. As will be discussed below, those indications proved to be true—these corporations were in fact sponsors of Congressman Rangel’s travel according to House travel rules because these corporations had donated funds specifically for the conference (i.e. earmarked funds).

\(^4\) House Rule 25(5)(h)(i)(1)(B) directs the Standards Committee to establish, “regulations describing the information it will require individuals subject to this clause to submit to the committee in order to obtain the prior approval of the committee for any travel covered by this clause . . .” On February 20, 2007, the Committee issued guidelines and regulations concerning the travel restrictions and requirements.
A. REPRESENTATIVE RANGEL’S KNOWLEDGE OF THE INVOLVEMENT OF THESE CORPORATIONS IN THE CONFERENCE

17. On his Member Post-Travel Disclosure Form, Congressman Rangel listed Carib News Foundation as the only sponsor of the 13th Annual Caribbean Multi-National Business Conference in St. Maarten, N.A. (hereafter “the trip” or “conference”5) in November 2008.6

18. Congressman Rangel certified that this information was “true, correct and complete” to the “best of [his] knowledge.”7

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5The “Member/Officer Post-Travel Disclosure Form” asks the filer at question 5, “Sponsor(s) (who paid for the trip).” This in turn raises two questions: (1) what is a trip and; (2) is a conference a “trip” or is a trip limited to the travel expenses associated with attending the trip, e.g., transportation, lodging and meal expenses? The House Ethics manual and the relevant forms use the terms “travel” and “trip” interchangeably. For example, the relevant form is called a Member/Officer Post-Travel Disclosure Form (emphasis added). The introductory paragraph on the form provides, “[t]his form is for disclosing the receipt of travel expenses from a private source for meetings, speaking engagements, fact-finding trips or similar events in connection with official duties. You need not disclose government-funded or political travel on this form, or travel that is unrelated to official duties. This form does not eliminate the need to report all privately-funded travel on the Member or officer’s annual Financial Disclosure Statement. In accordance with clause 3 of House Rule 25, complete this form and file it with the Clerk of the House of Representatives, B-106 Cannon House Office Building, within 15 days after travel is completed. The Clerk is to make these forms available to the public as soon as possible after they are received.”

6Member/Officer Post-Travel Disclosure Form signed by Representative Charles B. Rangel (Nov. 24, 2008) (Exhibit 1 at 09–6333 0002–0003).

7Id. at 09–6333 0003.
19. In an interview with the OCE, Congressman Rangel confirmed he signed this document.8

20. Prior to the conference, Karl Rodney, the CEO of the Carib News Foundation, submitted a Private Sponsor Travel Certification Form to Congressman Rangel, which he in turn submitted to the Standards Committee that identified the Carib News Foundation as the sponsor of the trip.9

21. Later on that same day, Mr. Rodney represented that “the trip sponsor(s) [had] not accepted from any other source funds earmarked directly or indirectly to finance any aspect of the trip.”10

22. Rodney also certified that the information was “true, complete, and correct.”11

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8Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0020).
9Private Sponsor Travel Certification Form signed by Karl A. Rodney (Oct. 3, 2008) (Exhibit 1 at 09–6333 0004).
10Id. at 09–6333 0005.
11Id. at 09–6333 0006.
23. Also prior to the conference, the Standards Committee approved the reimbursement of Congressman Payne's expenses by the Carib News Foundation.\textsuperscript{12}

24. At the conference, several corporations, including Citibank, IBM, AT&T, and others, were identified as "sponsors."\textsuperscript{13}

25. The signs for the conference displayed these corporations' logos, including signs hung behind the speaker's podium.\textsuperscript{14} Congressman Rangel arrived at the conference on Friday and left on Sunday. According to his interview with OCE, Congressman Rangel did not attend any of the sessions he did not participate in—with one exception. However, he did attend all the conference meals.\textsuperscript{15} In total, Congressman Rangel would have attended approximately 6 or 7 sessions and/or meals. According to Delegate Christensen, the signs containing the corporate logos were in every room used by the conference.\textsuperscript{16} It is therefore likely Congressman Rangel was exposed to the signs bearing the corporate logos.

\textsuperscript{12} Letter from the Committee on Standards of Official Conduct to Representative Charles B. Rangel (Oct. 23, 2008) (Exhibit 1 at 09–6333 0016–0017).

\textsuperscript{13} Photographs taken at the 13th Annual Caribbean Multi-National Business Conference (Exhibit 5 at 09–6333 0058–0068) (The Board notes that the source of this information may have a bias, interest, or motive in this matter.).

\textsuperscript{14} Id.

\textsuperscript{15} Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0021).

\textsuperscript{16} Memorandum of Interview of Delegate Donna Christensen (May 4, 2009) (Exhibit 26 at 09–6333 0287).
26. Despite the likelihood that Representative Rangel was exposed to signs bearing corporate logos, in an interview with the OCE, Congressman Rangel stated that he did not see any such signs. He stated that he did not remember any corporations identified as sponsors. While admitting that his lack of memory on this matter was a problem, he nevertheless was unequivocal that he did not see indications that business had sponsored the conference.\textsuperscript{17} His statements on this point are not credible and conflict with the statements of other Members of Congress who attended, and the pictorial evidence collected by OCE.

27. Despite his statement that he has no memory of them, these corporate entities, as described below, were in fact sponsors of the conference.

B. CARIB NEWS ALSO SPONSORED CONGRESSMAN RANGEL’S TRAVEL

28. Karl Rodney is the publisher of the CARIB NEWS, a weekly newspaper published in New York. He also identified himself as the CEO of the Carib News Foundation on the Private Sponsor Travel Certification described above.\textsuperscript{18}

29. According to Mr. Rodney, “general funds” of CARIB NEWS were “pooled” with payments from corporate sponsors, made both to CARIB NEWS and the Carib News Foundation and fees from attendees at the conference to pay conference expenses including “travel” and “hotel payments.”\textsuperscript{19}

30. Therefore, CARIB NEWS was also effectively a sponsor of Congressman Rangel’s trip.

C. CORPORATE DONATIONS WERE EARMARKED FOR THE CONFERENCE

31. According to the House Ethics Manual:

\begin{quote}
The rule and implementing regulations are concerned with the organization(s) or individual(s) that actually pay for travel. Thus, for example, when a nonprofit organization pays for trav-
\end{quote}

\textsuperscript{17}Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0021).

\textsuperscript{18}Private Sponsor Travel Certification Form signed by Karl A. Rodney (Oct. 3, 2008) (Exhibit 1 at 09–6333 0006).

\textsuperscript{19}Letter from Joel Cohen, Counsel for Karl Rodney (May 18, 2009) (Exhibit 6 at 09–6333 0069).
el with donations that were earmarked, either formally or informally, for the trip, each such donor is deemed a—private source for the trip and (1) must be publicly disclosed as a trip sponsor on the applicable travel forms and (2) must itself be required to satisfy the above standards on proper sources of travel expenses.

32. In the course of conducting its review, the OCE has learned that the Carib News Foundation solicited earmarked funds for the conference. For example, Carib News Foundation sent a solicitation letter to Citigroup, Inc.20

20Letter from Carib News Foundation to Mr. Eric Eve, Citigroup, Inc. (Apr. 4, 2008) (Exhibit 7 at 09–6333 0073) (a nearly identical letter was sent to IBM, AT&T, Pfizer, Verizon Foundation and others).
April 04, 2008

Mr. Eric Eve
Senior Vice President
Community Relations
Global Consumer Group
Citigroup Inc.
850 Third Avenue, 12th floor
New York, NY 10022

Dear Mr. Eve:

For the past twelve years, the annual Caribbean Multi-National Business Conference has been instrumental in encouraging investment, cross-border trade and business partnerships, the role played by executives of major corporations, medium and small-size businesses and entrepreneurs, and deepens the connections with key elected officials.

Your support and that of CITI went a long way to make the Conference a success, and has fostered on-going growth in business achievements and impactful policy decisions. We appreciate your encouragement, your personal participation, and the very stature your presence brings to the Conference. We do get concrete results and expressed appreciation of new opportunities.

We can assure you that all the key stakeholders, Members of Congress, Heads and Ministers of Government, Elected Officials, Community and Business Leaders are all aware and appreciative of yours and CITI’s participation in this very important mission.

This year, the Thirteenth Annual Conference is scheduled to be held in St. Maarten, November 6 – 9, 2008, and promises to further strengthen and expand on the work done by many of the Caribbean countries developing economies, in collaboration with the emerging markets initiatives in the U.S. The quality of the sessions and the high level of participation is now legendary, and is anxiously awaited each year.

Enclosed is a Power Point presentation of the sponsorship opportunities the Conference provides, and also a program and recap of the 2006-2007 Conference. We know of your interest to deepen the CITI local, regional and global connections, and I know the Conference can achieve that. It is our sincere wish that this presentation motivates your sponsorship.

33. Attached to this solicitation letter was a PowerPoint presentation.21 The presentation solicits money only for the conference and not for any other purpose, outlining the benefits of each level of sponsorship—Platinum, Gold, and Silver, along with lesser levels of sponsorship—in terms of the conference.22 In each instance, the

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21Id. at 09–6333 0075–0090.
22Id. at 09–6333 0083–0086.
sponsorship covers travel related expenses such as gala events and meals.

34. The OCE also learned that at least four of the corporations identified at the conference did in fact, make payments to the Carib News Foundation and CARIB NEWS (the newspaper) earmarked for the conference. The Carib News Foundation itself appears to be nothing more than a conduit in this case, and a partial one at that, for payments from corporations to support the conference. There is no evidence that the organization has filed a tax return with the IRS, under either Carib News Foundation or Carib News Charities, since 2005.23 On its 2005 form 990–PF, the Carib News Foundation is shown as having no assets, no income and no expenses.24 Not a single witness from a sponsor interviewed by the OCE knew of any other work of the Foundation. Indeed one witness, from IBM, was not aware that the Foundation played a role in the conference.25

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23 Letter from IRS to OCE (April 17, 2009) (Exhibit 8 at 09–6333 0095).
24 Id. at 09–6333 0096–0107.
25 Memorandum of Interview of Representative of IBM (May 8, 2009) (Exhibit 9 at 09–6333 0111).
35. **Citigroup.** Citigroup made a $75,000 payment to the CARIB NEWS for the conference.\(^{26}\)

36. **Verizon Foundation.** Verizon Foundation made a $35,000 payment to the Carib News Charities\(^{27}\) for the conference.\(^{28}\)

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**Letter from Verizon Foundation**

Susan A. Sullivan  
Verizon Foundation  
Director – Strategic Planning & Partnerships

November 25, 2008

Mr. Karl B. Rodney  
Chairman & CEO  
Carib News Charities, Inc.  
7 West 36th Street, 8th Floor  
New York, NY 10018

Dear Mr. Rodney:

On behalf of the Verizon Foundation, it is a pleasure to present the enclosed check for $35,000.00 to Carib News Charities, Inc., in support of the 13th Annual Carib News Multi-National Business Conference – November 6-9, 2008.

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37. Representative 1 of the Verizon Foundation said the Verizon Foundation funded the Carib News Foundation for the first time in 2008 and that the grant was issued to provide funding for the 13th Annual Caribbean Multi-National Business Conference.\(^{29}\)

38. **IBM.** IBM made a $20,000 payment to Carib News Foundation for the conference as indicated on the invoice that CARIB NEWS, INC. (not Carib News Foundation) sent IBM.\(^{30}\)

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\(^{26}\) Documents submitted to the OCE by Citigroup (Exhibit 7 at 09–6333 0072).

\(^{27}\) Mr. Rodney accepted corporate payments under the names of three entities: The Carib News, the Carib News Foundation, and the Carib News Charities. According to the Secretary of State for the State of New York, the organization that currently operates as the Carib News Foundation originally operated under the name the Carib News Charities.

\(^{28}\) Documents submitted to the OCE by Verizon Foundation (Exhibit 10 at 09–6333 0117).

\(^{29}\) Memorandum of Interview of Representative 1 of Verizon Foundation (Mar. 23, 2009) (Exhibit 11 at 09–6333 0122).

\(^{30}\) Documents submitted by IBM to the OCE (Exhibit 13 at 09–6333 0140).
39. **Macy’s.** Macy’s made a $35,000 payment to CARIB NEWS for the conference.  

40. **Pfizer.** Pfizer made a $25,000 payment to CARIB NEWS for the conference.  

41. Only American Airlines explicitly limited their sponsorship of the conference to individuals who were not elected officials, prohibiting CARIB NEWS from using any part of their sponsorship on Members of Congress and other government officials and their staff. No other sponsor with whom we spoke placed restrictions on how or on whom their contribution could be spent. The only expectation was that the contribution would be used for expenses associated with the conference.  

D. BECAUSE ENTITIES THAT EMPLOY OR RETAIN LOBBYISTS SPONSORED THE EVENT, CONGRESSMAN RANGEL’S INVOLVEMENT SHOULD HAVE BEEN LIMITED TO ONE DAY  

42. According to the House Ethics Manual:  

**One-Day Event Trip.** The sole exception to the general prohibition on accepting officially-connected travel from a private source that retains or employs lobbyists or agents of a foreign principal is for trips involving attendance at or participation in one-day event (exclusive of travel time and an overnight stay). Under the rule, it is permissible for a Member or staff person to accept and meals related to a single night’s lodging and meals related to the trip, if offered by the trip sponsor. Members and staff must limit their involvement in connection with the event to a single calendar day, exclusive of travel time and an overnight stay. A Member or staff person may therefore at-
tend only a single day of a multiple-day conference, forum, or other event that is being hosted primarily for individuals other than congressional invitees.

Under the Committee’s travel regulations and guidelines implementing the travel provisions of the gift rule, the Committee may permit a second night’s stay when determined—on a case-by-case basis to be practically required to participate in the one-day event (House Rule 25, clause 5(b)(1)(C)). Some circumstances in which the Committee may permit a second night’s stay are for certain long-distance trips, when a Member or staff person is participating in a full day’s worth of officially-connected activities such that a second night’s stay is necessary to accomplish the purpose of the trip, or other exceptional circumstances that are described in detail by the traveler. The traveler will be personally responsible for any expenses incurred beyond those allowed by the Committee in connection with the second night’s stay. 34

43. Citigroup, IBM and Verizon employ or retain lobbyists. 35

44. Congressman Rangel spent four days at the conference at the expense of the third-party. 36

45. There is substantial reason to believe that Congressman Rangel violated House Rule 25, clause 5(b)(1)(C) by accepting trip-related reimbursements from entities that employ or retain lobbyists for participating in an event for more than one day.

E. THE GOVERNMENT OF ST. MAARTEN MADE IN-KIND DONATIONS TO THE 2008 CONFERENCE AND PLAYED A SIGNIFICANT ROLE IN PLANNING, ORGANIZING AND CONDUCTING THE 2008 CONFERENCE

46. The Government of St. Maarten was the host of the 2008 conference.

47. In that capacity, the Government of St. Maarten provided in-kind donations to support the conference and also had a substantial role in planning the conference. As a result, it was effectively a sponsor of the 2008 conference. 37

48. Rodney provided the Leader of Government of St. Maarten, Commissioner Sarah Wescott-Williams, with a list of “Basic Requirements to Host Caribbean Multi-National Business Conference.” 38 These included:

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36 Member/Officer Post-Travel Disclosure Form signed by Representative Charles B. Rangel (Nov. 24, 2008) (Exhibit 1 at 09–6333 0002–0003).
37 In 2007, the “host” of the conference was the Government of Antigua and Barbuda. In the event that the Government of Antigua and Barbuda provided the same support as St. Maarten did in 2008, then the members may have accepted gifts from a foreign government which would have been reportable under the Foreign Gift and Decorations Act. In addition, if the Government of Antigua provided these gifts to the Members, and if they were more than $335 in value, then the Members should have disclosed them on their financial disclosure form for 2007, which was filed in May 2008.
According to a statement from Mr. Rodney submitted to the OCE, the Government of St. Maarten, (1) developed local Host Committees to facilitate local planning; (2) helped negotiate the rate with the hotel, (3) assisted in developing the theme of the Conference, (4) assisted in identifying local speakers, including the Leader of Government, (5) assisted in local publicity, (6) provided local entertainment, including a school choir and cultural items, (7) arranged Host Country Evening on Friday, November 8 (the whole group was transported to another property for refreshments and entertainment), (8) helped with local transportation for some CARIB NEWS employees and helped arrange accommodations for some guests (not paying for such accommodations), (9) participated as event speakers, and (10) issued invitations to attend to specially invited guests. These contributions to the conference were all in-kind, according to Mr. Rodney, and he did not provide an estimated value for them.

In addition, because these donations to the conference are from a foreign government, Members are required to take certain actions under the Foreign Gifts and Decorations Act.
51. Representative Rangel told the OCE that he was unaware of what role the Government of St. Maarten played in the conference. He only knew that they provided protection for him—to include the use of a car and a police escort while he attended the conference.42

III. ROLE OF THE CHAIR’S COUNSEL IN THE APPROVAL OF THE 12TH ANNUAL CARIBBEAN MULTI-NATIONAL BUSINESS CONFERENCE IN 2007

52. Congressman Rangel told the OCE that he relied on the Standards Committee to determine if he could attend the conference.43 He also stated that he believed the Carib News Foundation was the conference and that the foundation put the program together and invited him to attend.44 In the course of the Board’s review, the OCE requested documents from Mr. Karl Rodney, the CEO of the Carib News Foundation. Mr Rodney voluntarily submitted documents to the OCE that included, among other things, communication with certain members of the staff of the Committee on Standards of Official Conduct in 2007. The contents of these documents from 2007 are relevant because they indicate the role of the corporations was concealed from the Committee in 2008.

53. The Board requested that the Committee provide the information submitted to it for 2008 and the Committee declined to do so.

54. The documents submitted by Mr. Rodney show that in 2007 the CARIB NEWS initially identified, on several occasions, other corporations as sponsors of the Conference. The designation of these corporate entities as sponsors presented a problem for CARIB NEWS and the Members who wished to attend the conference insofar as their attendance would be limited to one day. In 2007, as a result of changes in the travel rules, a Member could not, in most instances, participate in an event (such as a conference) for more than one day if their travel to and participation in the event was paid for by an entity that employed or retained a lobbyist.45 Many of the corporate entities who sponsored the 2007, as well as the 2008 conference, employed or retained lobbyists. Although CARIB NEWS initially identified these entities as sponsors, following interactions with the counsel to the then-chair of the Committee, apparently without the knowledge of the Standards Committee staff attorney assigned to review the trip, the documents identifying these organizations as sponsors were changed.

55. Subsequently, in 2008, the Carib News Foundation submitted documents that omitted the role of these other corporations as sponsors of the conference. Further, the staff attorney assigned to review the trip in 2008 was not the same staff attorney that reviewed the trip in 2007.

56. The earliest communication between CARIB NEWS or the Carib News Foundation and anyone associated with the Ethics Committee in the documents submitted to the OCE from Mr. Rodney is an e-mail dated September 17, 2007 from Patricia Louis, an

Footnotes:
42 Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0021).
43 Id. at 09–6333 0022.
44 Id. at 09–6333 0021.
45 House Ethics Manual (2008) at 92–93 (citing House Rule 25, clause 5b(1)(C)).
Executive Assistant at CARIB NEWS, to Dawn Kelly Mobley, Counsel to the then-Chair of the Ethics Committee.46

57. The next day, on September 18, 2007, Ms. Mobley responded and asked for “any information on your sponsor’s status.” 47

58. That same day Ms. Louis responded, identifying multiple corporations as “sponsors” of the trip.48

We had received the forms from Shelley.
The sponsors to date are: MACY’S, PFIZER, AMERICAN AIRLINES, GOLDEN KRUST BAKERY, CARIBBEAN FOOD DELIGHTS, PREFERRED HEALTH PARTNERS, IBM, AT&T/CINGULAR

Regards

Patricia Louis
Executive Assistant
CARIB NEWS
7 West 20th Street, 6th Floor
New York, NY 10011

59. In response that same day, Ms. Mobley asked, “[d]o any of these organizations have or retain a lobbyist”49

60. The next day, Ms. Mobley further responded asking Ms. Louis whether she, Ms. Mobley, should “assume” the sponsor was CARIB NEWS, despite the fact that Ms. Louis had not identified CARIB NEWS as a sponsor.50 The Board notes that in her e-mail, Ms. Louis did not identify CARIB NEWS as a sponsor. Further, Ms. Mobley acknowledged that she had been told corporations identified by Ms. Louis were “sponsoring food and other parts of the Antigua travel.” Under House rules in place at the time, and under current rules, sponsoring a meal makes these corporations sponsors of a Member’s travel.51 The Board also notes Ms. Mobley’s use of the phrase “safe review,” which the Board takes to mean a review which results in approval of the trip.

46 E-mail from Patricia Louis to Dawn Kelly Mobley (Sept. 17, 2007, 3:47 PM EST) (Exhibit 17 at 09–6333 0204) (The Board elected not the interview Ms. Mobley and Ms. Olson because the Standards Committee voted against disclosing information to the OCE. The Board determined that it would have been an act of bad faith on the part of the OCE to attempt to interview staff and former staff of the Standards Committee in light of the Committee’s refusal to grant OCE access to their records.).
47 E-mail from Dawn Kelly Mobley to Patricia Louis (Sept. 18, 2007, 12:57 PM EST) (Exhibit 17 at 09–6333 0204).
48 E-mail from Patricia Louis to Dawn Kelly Mobley (Sept. 18, 2007) (Exhibit 17 at 09–6333 0204) (The Board notes that while the document that contains the e-mail does not have a header which indicates a date and time, both the e-mail before it and responding to it are dated September 18, 2007).
49 E-mail from Dawn Kelly Mobley to Patricia Louis (Sept. 18, 2007, 7:03 PM EST) (Exhibit 17 at 09–6333 0203).
50 E-mail from Dawn Kelly Mobley to Patricia Louis (Sept. 19, 2007, 2:16 PM EST) (Exhibit 17 at 09–6333 0203).
Later in the afternoon on September 19, 2007, Ms. Mobley sent Ms. Louis another e-mail where she discussed the limitations posed by the new travel rules the House had adopted in 2007. Ms. Mobley told Ms. Louis, "the new rules might prohibit some things you were able to do with so many different sponsors in the past." Thus, Ms. Mobley again acknowledged that these corporations were sponsors and that the new travel rules affected the nature of their participation in the trip.\textsuperscript{52}

On September 21, 2007, Ms. Louis responded.\textsuperscript{53}

\textsuperscript{52} E-mail from Dawn Kelly Mobley to Patricia Louis (Sept. 19, 2007, 3:23 PM EST) (Exhibit 17 at 09–6333 0202).

\textsuperscript{53} E-mail from Patricia Louis to Dawn Kelly Mobley (Sept. 21, 2007, 1:56 PM EST) (Exhibit 17 at 09–6333 0201).
63. That same day, on September 21, 2007, Ms. Louis faxed Ms. Mobley a Private Sponsor Travel Certification Form. On the form Carib News Foundation is listed as the sponsor of the trip in question 1.⁵⁴

64. However, the Carib News Foundation listed a number of corporations as private sponsors, each with responsibility for planning and conducting the trip, in question 12.⁵⁵ This is at least the second instance where the Carib News Foundation identified these corporations as the trip’s sponsors.
65. This prompted the following e-mail from Ms. Mobley to Ms. Louis.56 The Board notes that Ms. Mobley stated she was “working through” the Carib News Foundation’s forms “before leaving them with our staff attorney.”

66. Later that same day, Ms. Mobley queried further.57 At least as of this date, following at least two instances where Ms. Louis identified these corporations as sponsors, Ms. Mobley appeared to treat these entities as “co-sponsors.”

67. On October 3, 2007, Ms. Mobley informed Ms. Louis that Susan Olson was the staff attorney assigned to review the trip.58

68. A copy of the Private Sponsor Travel Certification Form provided to a Member’s office on October 5, 2007, shows that by October 5, 2007, following its interaction with Ms. Mobley, Carib News Foundation changed its answer to question 12 regarding other private sponsors. As previously highlighted, as of September 21, 2007, Carib News Foundation provided the following answer to question 12.59

69. However, as of October 5, 2007, it provided a different answer to question 12.60

And the attached sheet provided the following information.61

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56 E-mail from Dawn Kelly Mobley to Patricia Louis (Sept. 25, 2007, 12:42 PM EST) (Exhibit 17 at 09–6333 0188).
57 E-mail from Dawn Kelly Mobley to Patricia Louis (Sept. 25, 2007, 5:08 PM EST) (Exhibit 17 at 09–6333 0188).
58 E-mail from Dawn Kelly Mobley to Patricia Louis (Oct. 3, 2007, 12:39 PM EST) (Exhibit 17 at 09–6333 0185).
59 Private Sponsor Travel Certification Form (Sept. 21, 2007) (Exhibit 17 at 09–6333 0192).
60 Private Sponsor Travel Certification Form (Oct. 5, 2007) (Exhibit 18 at 09–6333 0207).
61 Id. at 09–6333 0211
On October 10, 2007, Susan Olson, the staff attorney on the Standards Committee assigned to review the trip e-mailed Ms. Louis the following questions62 (and copied Ms. Mobley and the Chief Counsel of the Standards Committee at that time, Bill O'Reilly). While the Private Sponsor Travel Certification Form for the trip had been changed by this date, the draft agenda for the conference apparently had not and still showed corporate sponsors for various events. What Ms. Olson does not appear to be aware of is the fact that Carib News Foundation had previously identified the same corporations she is raising questions about as private sponsors on its original Private Sponsor Travel Certification form.

---Original Message---
From: Olson, Susan [mailto:Susan.Olson@mail.house.gov]
Sent: Wednesday, October 10, 2007 4:01 PM
To: [redacted]
Cc: Dawn.Kelly.Mobley@mail.house.gov; O'Reilly, Bill
Subject: Carib News - Pre-trip Approval Issues

Dear Mrs. Louis:

With regard to the pre-trip approval requests for the Carib News Foundation's
(Foundation) trip to Antigua, the issues involving sponsorship are as follows:

While the sponsor form that you completed indicates that the Foundation is the sole sponsor of the 2007 trip, the draft schedule, however, indicates that the following entities are "sponsoring" sessions, events, etc. during this trip:
- Antigua Government
- Sandals
- Royal Caribbean Bakery
- CIT
- Pilz
- Macy's
- AT&T
- HSBC
- IBM
- Goodworks International
- Preferred Health Partners
- Antigua & Barbuda
- American Airlines
- Goldair Krus

Last year the Foundation provided the following information regarding these "additional sponsors" for the November 9 to 12, 2006 trip:

The Foundation, which is a 501(c)(3) nonprofit organization, will be paying for the Members' travel expenses including transportation, meals, and lodging. The background materials for the Conference also indicate that the additional trip sponsors provide a "contribution to the overall pool of expenses in contribution to the [Foundation]" which is used to "underwrite the overall expenses of the Conference," primarily for meal expenses. These materials further provide that these additional-sponsors have representatives from their organization who will be attending and participating in the Conference.

Accordingly, the Committee's Advisory Opinion, dated October 27, 2008, provided that all of the organizations that provided financial underwriting for the trip along with the Foundation were required to be listed as the "trip sponsors" on the participating Members' post-travel-disclosure forms and their 2006 annual financial disclosure statements.

Accordingly, you need to provide information describing the role of those "additional sponsors" as listed in the 2007 trip draft schedule for this current trip. Without such information, I cannot proceed with the review of the pre-trip approval requests for the Foundation's Antigua trip.

Susan L. Olson
Counsel
House Committee on Standards of Official Conduct
70. The Committee’s Advisory Opinion dated October 27, 2006 indicates, as Ms. Olson wrote, that Carib News Foundation told the Standards Committee in 2006 that there were several corporate entities that sponsored the conference. The “Advisory Opinion” did not conclude that these entities were, in fact, the trip’s sponsors, as the e-mail seems to indicate.

71. A draft agenda for the conference dated October 3, 2007, identified a “sponsor” for each event listed. This appears to be the version of the agenda that Olson is referring to in her e-mail. For example, “Preferred Health Partners” is identified as the sponsor of this event on “Port & Airport Security—The Mandates.”

And Citi is identified as the sponsor of this event on “Community Outreach—Education—Access and Collaboration.”

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65 Id. at 09–6333 0219
66 Id. at 09–6333 0225
72. Ms. Louis forwarded Ms. Olson’s e-mail to Ms. Mobley, Congressman Charles Rangel’s Chief of Staff George Dalley and Delegate Donna Christensen’s scheduler Shelley Thomas, and asked them to advise her on a response.\textsuperscript{67}

Ms. Louis appears to be pre-clearing her response to questions posed by the Standards Committee staff attorney. There is no indication that the staff attorney knew that the answer to her question had already been discussed with the counsel to the then-chair of the Standards Committee. Substantively, based on documents obtained by the OCE and interviews with sponsors, the statement “the sponsors contribute to the overall expense of the trip” appears

\textsuperscript{67}E-mail from Patricia Louis to Dawn Kelly Mobley, George Dalley, and Shelley Thomas (Oct. 10, 2007, 5:56 PM EST) (Exhibit 17 at 09–6333 0177).
to be true. However, the statement “and the general work of the Foundation,” does not appear to be true. All of the sponsors OCE interviewed stated unequivocally that the contribution was intended for the conference.

73. Less than an hour later Ms. Mobley responded. The Board notes Ms. Mobley’s concern with whether any of the corporate sponsors paid for an event and also retained a lobbyist” and her conclusion that if they did, Members of Congress could only attend for one day.

74. Ms. Louis then faxed Ms. Mobley. The Board notes that Ms. Louis again appears to be pre-clearing her responses to the staff attorney, Ms. Olson, with Ms. Mobley (“Kindly review and advise before I send to Ms. Olson.”).
The Board further notes that Ms. Louis represented that, “the program has been amended to reflect the companies as Participants,” an action taken following Ms. Louis’ interactions with Ms. Mobley. A copy of the revised agenda was submitted by another Member of Congress who attended the conference.71 The Board notes that this “updated” schedule changed the label applied to “sponsors” to “participants” and in some cases deleted any mention of the corporate entity that had previously been identified as a “sponsor.”

76. This event was previously identified in the earlier draft as being “sponsored” by Preferred Health Partners. Now it identifies them as merely a “participant.”

77. In another example, the Board notes that the following event was previously identified as being sponsored by CITI. Now CITI is not even mentioned. Michael Flanigan, the moderator, was an executive at CITI at the time and represented the company at the conference.

76 Memorandum of Interview of Representative of Citi (Mar. 17, 2009) (Exhibit 4 at 09–6333 0053).
78. These changes were entirely cosmetic. There is no indication that the corporations’ substantive role in the conference changed in any way.

79. That same day, October 11, 2007, Ms. Louis responded to Ms. Olson, stating that “[t]he sponsors contribute to the overall expense of the trip.”77 The Board notes that this is precisely the answer she had pre-cleared with Mobley.

80. Ms. Olson then forwarded her exchange with Ms. Louis to Bill O’Reilly, the Staff Director and Chief Counsel of the Ethics Committee at that time, and to Dawn Mobley.78 Based on this e-mail, it appears that Ms. Olson was unaware that Mobley had been...

77 E-mail from Patricia Louis to Susan Olson (Oct. 10, 2007, 10:33 AM EST) (Exhibit 17 at 09–6333 0173).
78 E-mail from Susan Olson to Bill O’Reilly and Dawn Kelly Mobley (Oct. 12, 2007 9:29 AM) (Exhibit 17 at 09–6333 0172).
communicating directly with the Carib News Foundation. There is also no evidence that Ms. Mobley told her she had been involved in this manner. Witnesses for the various sponsors told the OCE that they did contribute funding directly to the trip (the conference) and in no case did they simply make donations to the “general funds” of the CARIB NEWS or the Carib News Foundation.79

81. Ms. Mobley then forwarded Ms. Olson’s internal e-mail to Ms. Louis.80 The Board notes that Ms. Mobley counseled that these “other organizations” can “participate” in the program but “should not help pay for the trip.”

82. Later that day, Ms. Mobley sent Ms. Louis an additional e-mail.81 As previously stated, the sponsors whom the OCE interviewed all stated that they did not “support [the] foundation annually” and did specifically designate their donations for the 2007 conference. Either Ms. Mobley was repeating inaccurate information Ms. Louis had given her, or she was giving inaccurate information to Ms. Olson without prompting.

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79 Memorandum of Interview of Representative of IBM (May 8, 2009) (Exhibit 9); Memorandum of Interview of Representative 1 of the Verizon Foundation (Mar. 23, 2009) (Exhibit 11); Memorandum of Interview of Representative of Citi (Mar. 17, 2009) (Exhibit 4); Memorandum of Interview of Representative 1 of Macy’s (May 28, 2009) (Exhibit 20).

80 E-mail from Dawn Kelly Mobley to Patricia Louis (Oct. 12, 2007 9:59 AM EST) (Exhibit 17 at 09–6333 0172).

81 E-mail from Dawn Kelly Mobley to Patricia Louis (Oct. 12, 2007 1:55 PM EST) (Exhibit 17 at 09–6333 0172).
Registration

From: Kelly Mobley, Dawn [Dawn.KellyMobley@mail.house.gov]
Sent: Friday, October 12, 2007 1:55 PM
To: plois
Subject: RE: Confidential

The fax did not come through. I will be stepping out of the office for the remainder of the day, but will be in early Monday. Please follow up again with Susan. I have explained that the organizations you labeled as co-sponsors are not. They support your foundation annually, but have not and will not pay for the Members trip. This is simply a misunderstanding of the terms "sponsors," "contributor," and "participant" as used in the Ethics rules which is why I sent you the Rules book for preparation.

Once you are able to clarify these issues and make sure your itinerary passes too, you should be fine. An Ethics Committee Staff Attorney must review and approve as well. Your Staff Attorney is Susan.

83. Ms. Olson then sent Ms. Louis additional questions about the corporate entities previously identified as “sponsors.”

84. Three days later, Ms. Louis sent an e-mail to Ms. Mobley, but addressed to Ms. Olson. This may have been inadvertent or, based on their previous practice, Ms. Louis may have done this before she then sent it to Ms. Olson. This is the final communication regarding the 2007 conference provided to the OCE.
85. In an interview with the OCE, a staff member of Representative Rangel’s office described discussions with Ms. Louis and Ms. Mobley in 2007 on the topic of how the new travel rules would affect the Members’ participation in the 2007 conference. The staff member said that Ms. Louis, and Mr. and Mrs. Rodney told him that the then Chair of the Standards Committee had assigned her counsel on the Committee, Ms. Mobley, to “find a way” to allow Members of Congress to participate in the conference under the new travel rules passed by the House in 2007. The staff member told the OCE that Congressman Rangel told him that the then-Chair had made similar statements to him.

86. The staff member said the “framework” that was decided upon was that the Carib News Foundation would raise money from corporate donors who had previously sponsored the conference and that this money in turn would be deposited in a “common fund” that would then be used to pay for the conference. It was the staff member’s understanding that if this was done, then Members of Congress could participate in the conference without any restrictions imposed by the new rules. The staff member said that it was important to break the link between the corporations and the conference under the new rules and that using the Foundation in this way would enable that to happen. The staff member said he learned of this new framework for the conference from Mr. and Mrs. Rodney and that they represented this approach had come from Ms. Mobley on the Standards Committee.

87. This conduct in 2007 is relevant to the present reviews for a number of reasons. First, in and of itself, the intervention of the Chair’s counsel in this matter is troubling and more likely con-
stituted an improper manipulation of the clearance process. Following Ms. Mobley’s intervention, Carib News Foundation changed the Private Sponsor Travel Certification Form to delete any mention of private sponsors before it was sent to the Standards Committee’s staff attorney assigned to review the matter. This occurred after Carib News Foundation had told Ms. Mobley that these corporations were sponsors of the conference on several occasions. Ms. Louis’s initial, and presumably truthful, submissions regarding the conference described the corporate entities as sponsors. However, if the corporations were sponsors of the conference, as opposed to Carib News Foundation, then the Members of Congress ability to attend would have been limited because, the corporations, unlike the Carib News Foundation, employed or retained lobbyists. It appears from the correspondence between Ms. Mobley and Ms. Louis, and Ms. Olson’s apparent ignorance of the correspondence, that Ms. Mobley assisted Ms. Louis in preparing inaccurate answers for Ms. Olson in order to ensure that Ms. Olson would approve the trip in a manner that would not limit the attendance of the Members of Congress. Ms. Mobley’s involvement in the process seems to have prevented the Standards Committee and its staff from correctly performing its responsibilities. Ms. Olson’s approval of the trip was predicated on an incomplete or inaccurate factual record, in which Ms. Mobley apparently was complicit, putting at risk those Members of Congress who relied on that approval.

88. The 2007 conduct and attendant misrepresentations appear to have directly influenced what occurred in 2008. When the Carib News Foundation submitted materials to the Standards Committee for their approval of the 2008 conference, the Carib News Foundation took the same approach that they had been counseled to take in 2007 and did not disclose the role of the corporate sponsors on the Private Sponsor Travel Certification Form or the conference agenda.

89. In fact, in 2008, Carib News Foundation again first submitted its document to Ms. Mobley. The Board notes that while Ms. Mobley remains an employee of the U.S. House of Representatives as of the date of this report, the above described conduct did not occur after the day the House passed the resolution creating the OCE, and therefore, under the terms of the that resolution, the OCE does not have jurisdiction to open a preliminary review into Ms. Mobley’s conduct.

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88 Fax from Patricia Louis to Dawn Kelly Mobley (Aug. 20, 2008) (Exhibit 23 at 09–6333 0255).
IV. THE VALUE OF THE TRIP REPORTED ON THE MEMBER’S POST-TRAVEL DISCLOSURE FORM

90. Under House Rule 25 clause 5(d), Members are required to obtain prior approval of the Standards Committee for trips where the Member’s travel expenses will be reimbursed by a private source. The Standards Committee has adopted regulations, including a pre- and post-travel form Members must complete, pursuant to House Rule 25 clause 5(h)(i)(1)(B) that requires Members to publicly disclose “trip expenses.”

91. According to the House Ethics Manual, “[t]he rule and implementing regulations are concerned with the organization(s) or individual(s) that actually pay for travel.” House Ethics Manual (2008) at 97.

92. There is substantial reason to believe that Congressman Rangel violated House Rule 25 clause 5(h)(i)(1)(B) by underreporting the value of the travel reimbursements he received to attend the 13th Annual Caribbean Multi-National Business Conference.

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90House Rule 25(5)(h)(i)(1)(B) directs the Standards Committee to establish, “regulations describing the information it will require individuals subject to this clause to submit to the committee in order to obtain the prior approval of the committee for any travel covered by this clause.” On February 20, 2007, the Committee issued guidelines and regulations concerning the travel restrictions and requirements.
A. REPRESENTATIONS FROM CARIB NEWS FOUNDATION

93. Carib News Foundation submitted a Private Sponsor Travel Certification Form to each Member it sponsored for the 2008 trip—Representatives Christensen, Kilpatrick, Payne, Rangel and Thompson.91 This form was provided to each Member Office and then submitted by the Member Office to the Standards Committee as part of the pre-travel approval process.

94. The Board notes that the Carib News Foundation provided the same exact dollar figure with very minor variations for each Member of Congress that attended the conference despite the fact that Carib News Foundation recognized on the same form that the Congressional travelers were travelling to and from different cities. In fact, the Congressional travelers came from St. Croix, U.S. Virgin Islands; Detroit, Michigan; Newark, New Jersey; New York, New York; and Jackson, Mississippi.

95. The Board notes that the Carib News Foundation provided the same “total transportation” figure to the Congressional travelers despite the fact that Carib News Foundation had, in its own files, airline tickets and receipts for each Congressional traveler that showed, with the exception of Congressman Payne, that the actual cost of the ticket was significantly higher.

96. In addition, according to Mr. Rodney, the cost charged to “the public” to attend the conference for four days and three nights was $840 for double occupancy or $1085 for single occupancy. The cost of attendance included “room accommodations, meals, and admission to the Conference.” However, these figures were not disclosed.

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91 Private Sponsor Travel Certification Form signed by Karl Rodney (Oct. 3, 2008) (Exhibit 1 at 09–6333 0004–0013).
pre-travel to the Members or the Standards Committee, nor were these figures disclosed to the Members after the conference.

B. INFORMATION REQUIRED FROM THE CONGRESSIONAL TRAVELER

97. On his Member/Officer Post-Travel Disclosure Form, Representative Rangel certified his travel cost as the following:

<table>
<thead>
<tr>
<th>Total Transportation Expenses</th>
<th>Total Lodging Expenses</th>
<th>Total Meal Expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Member or Officer:</td>
<td>$10.00</td>
<td>$165.00</td>
</tr>
<tr>
<td>For accompanying family member:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Expenses (dollar amount)</td>
<td>$160.00; $24.00</td>
<td>Conference Registration; Local Transportation</td>
</tr>
<tr>
<td>Specific Nature of Expenses (e.g., tax, parking, registration fee, etc.)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I certify that the information contained in this form is true, complete, and correct to the best of my knowledge. I have determined that all of the expenses stated above were necessary and that the travel was in connection with my duties as a Member or Officer of the U.S. House of Representatives and would not create the appearance that I am using public funds for private gain.

Signed: [Signature]

98. Unlike the other Members of Congress who attended the conference, who apparently used the November 18, 2008 memo to complete the post-travel disclosure, it appears that the figures that Congressman Rangel certified are identical to the estimates Mr. Rodney provided in the Private Sponsor Travel Certification Form submitted for pre-travel approval provide to Congressman Rangel from Mr. Rodney on November 18, 2008.

99. Congressman Rangel stated he never saw a plane ticket or anything bearing the cost of his flight. The airline would have given him something with which to locate his seat, but that was the extent of what he may have seen.

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92 Member/Officer Post-Travel Disclosure Form signed by Representative Charles B. Rangel (Nov. 24, 2008) (Exhibit 1 at 09–6333 0003).
93 Private Sponsor Travel Certification Form signed by Karl Rodney (Oct. 3, 2008) (Exhibit 1 at 09–6333 0006).
94 Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0020).
100. Documents obtained from Mr. Rodney indicate Congressman Rangel’s transportation costs were actually $752.15.\textsuperscript{95}

101. In his interview with OCE, Congressman Rangel stated that he did not see any documented dollar amounts for airline ticket, the registration fee or for the cost of meals. He stated that, although he signed the certification, he had no idea if the numbers on the forms were accurate. His Chief of Staff filled out all the paperwork.\textsuperscript{96} Representative Rangel did not know how much his meals cost or what “transportation” referred to other than his flight.\textsuperscript{97} In an interview with the OCE, a staff member of Representative Rangel’s office stated that while he did not remember whether the itinerary, above, was given to the Member, it was the kind of document that was typically placed in his briefing book so that he could travel. The staff member also pointed out that the receipt for the electronic ticket, also above, was a document that

\textsuperscript{95} Flight Reservation for Representative Charles Rangel (Oct. 27, 2008) (Exhibit 24 at 09–6333 0279).

\textsuperscript{96} Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0020).

\textsuperscript{97} Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0020).
only would be printed after the Member checked in at the airport for his flight.  

V. CARIB NEWS FOUNDATION, AS A PRIVATE FOUNDATION, WAS PROHIBITED FROM PAYING FOR CONGRESSMAN RANGEL’S TRAVEL

102. The Carib News Foundation is identified as the “sponsor” of this conference on at least three forms filed with the Committee on Standards of Official Conduct: (1) the “Private Sponsor Travel Certification Form;” (2) the “Privately Sponsored Travel: Travel Form;” and; (3) the “Member/Officer Post-Travel Disclosure Form.”

103. According to a query of the New York State’s Office of the Secretary of State, Mr. Rodney appears to operate two organizations—the “Carib News, Inc” which operates a newspaper and the “Carib News Charities, Inc” which also may operate under the name “Carib News Foundation.” The OCE has not been able to identify any additional activity, other than the annual Caribbean Multi-National Business Conference, in which the latter organization is involved. Furthermore, while “Carib News Charities, Inc”/“Carib News Foundation” is listed with New York’s Office of the Secretary of State as a domestic not-for-profit corporation, it is not listed, as required by law, with the New York State Charities Bureau. In addition, there is no evidence that the organization has filed a tax return with the IRS, under either name, since 2005.

104. Every organization that qualifies for tax exemption described in section 501(c)(3) of the Internal Revenue Code is defined as a private foundation unless the organization falls into one of the categories specifically excluded from the definition under section 509(a). In effect, the definition divides 501(c)(3) organizations into two classes: private foundations and public charities. Private foundations are generally funded through a single donor, family or corporation and operate through investment income; whereas, public charities are typically funded and operated through diversified support from governmental sources and the general public.

105. There are several restrictions that are placed on private foundations. At issue here is the restriction on “self-dealing” between a disqualified person (the definition of which includes Members of Congress) and a private foundation. The Code defines the act of “self-dealing” to include any direct or indirect agreement to make any payment of money (including reimbursement of expenses) or other property by a private foundation to a government official. Although framed as a tax provision, the statute essentially bars certain federal employees and federally elected officials

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98 Memorandum of Interview of Staff Member 1 of Congressman’s Rangel’s Office (May 27–28) (Exhibit 22 at 09–6333 0253).
99 Member/Officer Post-Travel Disclosure Form signed by Representative Charles B. Rangel (Nov. 24, 2008) (Exhibit 1 at 09–6333 0002).
100 Letter from IRS to OCE (Apr. 17, 2009) (Exhibit 8 at 09–6333 0095).
103 26 U.S.C. § 4941(d)(1)(F). The Code imposes a tax (currently 10 percent of the amount involved) on the illegal payments, with later penalties (up to $20,000 per act of self-dealing) for failure to pay back the foundation. The tax is imposed on the disqualified person, including a government official if the official participates in the act of self-dealing knowingly.
from receiving compensation, including reimbursements for international travel, from a private foundation.  

106. According to Publication 78 of the IRS, a list of all charities claiming 501(c) status, Carib Charities, Inc is a private foundation.

107. As such, it appears that the Carib News Foundation’s payment of travel expenses for Representative Rangel and his acceptance of payment potentially violated the Internal Revenue Code.

108. The Board infers from the fact that the Standards Committee approved the reimbursement that the Standards Committee is unaware of this restriction. The Board notes, however, that its own research revealed that numerous other ethics-related entities in the federal government are aware of this restriction, and enforced it for some time.

109. Congressman Rangel told the OCE that he was unaware of any limitations on the ability of private foundations to pay for overseas travel by government officials.

110. The Board notes that these facts show failures at multiple points by multiple parties in complying with and enforcing the travel rules. Inaccurate information was provided by the Carib News Foundation to Members and the Standards Committee. Congressman Rangel certified inaccurate information to the Standards Committee. The counsel to the former Chair of the Standards Committee intervened in the review process in a way that both frustrated the process in 2007 and set a pattern of obfuscation that continued in 2008. Finally, the Standards Committee appears unaware of limitations on the ability of private foundations to pay for overseas travel by Members.

111. For all these reasons, the Board concludes further review of this matter by the Standards Committee is appropriate.

104 The payment or reimbursement of travel expenses for travel solely from one point in the United States to another point in the United States is excepted from the definition of self-dealing provided that the payment or reimbursement does not exceed the actual cost of the transportation involved and provided the amount for all other traveling expenses does not exceed 125 percent of the maximum amount payable under section 5702 of title 5, United States Code, for like travel by employees of the United States. 26 U.S.C. § 4941(d)(2)(G)(vii).


106 Memorandum from Ethics Counsel at the National Institutes of Health to Deputy Ethics Counsels at NIH (Jun. 2, 2000) (Exhibit 25 at 09–6333 0281–0282).

107 Memorandum of Interview of Representative Charles Rangel (May 28, 2009) (Exhibit 2 at 09–6333 0022).
EXHIBIT 1
MEMBER / OFFICER
POST-TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from a private source for meetings, speaking engagements, fact-finding trips or similar events in connection with official duties. You need not disclose government-funded or political travel on this form, or travel that is unrelated to official duties. This form does not eliminate the need to report all privately-funded travel on the Member or officer’s annual Financial Disclosure Statement. In accordance with clause 1 of House Rule 25, complete this form and file it with the Clerk of the House of Representatives, 360th Cannon House Office Building, within 15 days after travel is completed. The Clerk is to make these forms available to the public as soon as possible after they are received.

1. Name of Traveler: Representative Charles B. Rangel

2. a. Name of Accompanying Family Member (if any): N/A
   b. Relationship to Member/Officer: □ Spouse □ Child □ Other (specify): 

3. a. Date of Departure and Date of Return: 11/28/08 - 11/29/08
   b. Dates at personal expense (if any): N/A

4. Itinerary (cities of departure - destination - return): NY (JFK) - St. Maarten - NY (JFK)

5. Sponsor(s) (who paid for the trip): Carib News Foundation

6. Describe meetings and events attended (attach additional pages if necessary):

   The trip was focused on
   strengthening trade and commercial relations between the City of New York and the nations of the Caribbean which are governed by U.S.
   Involving under the supervision of the Caribbean, which I Chair.

7. Attached to this form are EACH of the following (signify that each item is attached by checking the corresponding box):
   a. □ the Private Sponsor Travel Certification Form completed by trip sponsor, including all attachments;
   b. □ the Traveler Form completed by the Member or officer; and
   c. □ the Committee on Standards’ letter approving any participation on this trip.

8. a. I represent that I participated in each of the activities reflected in the sponsor’s agenda. (Signify that statement is true by checking box): □
   b. If not, explain: I did not depart for the conference until 11/27/08; I participated until the end when I left on 11/29/08.

[Signature]
9. TRIP EXPENSES: Unless annual dollar amounts from the committee, if Semi-dollar amounts are not available by the due date, provide a good faith estimate and file an amended form once the correct amounts are received.

<table>
<thead>
<tr>
<th></th>
<th>Total Transportation Expenses</th>
<th>Total Lodging Expenses</th>
<th>Total Meal Expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Member or Office</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$600.00</td>
<td>$200.00</td>
<td>$183.00</td>
</tr>
<tr>
<td>For accompanying</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>family member:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Expenses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(including spouse)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$100.00</td>
<td>$60.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conference/Registration/Local Transportation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I certify that the information appended in this form is true, accurate, and correct to the best of my knowledge. I have determined that all of the expenses listed above were necessary and that the travel was in connection with my duties as a Member of the U.S. House of Representatives and would not create the appearance that I am using public funds for personal gain.

\[Signature\]

DATE: 11-2-08

Verifies the above: Committee on Oversight of Official Conduct
U.S. House of Representatives
Committee on Standards of Official Conduct

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM
(provided directly to each House visitor)

This form should be completed by private sponsors offering to provide travel or reimbursement for travel to House Members, officers, or employees under House Rule XXVI, clause 3. A completed copy of this form (and any attachments) should be provided to each assigned House Member, officer, or employee, who will then forward it to the Committee. The trip sponsor should not submit the form directly to the Committee.

Private sponsors are urged to submit this form to each House visitor at least 30 days before travel is scheduled to begin. Failure to provide the Committee with adequate time to review the form and attachments may result in the visitor not receiving approval for the trip. The submission of an incomplete form will delay the review process. Before completing this form, sponsors are urged to carefully review the Committee’s private travel guidelines and advisory statements detailing the rules and restrictions for private travel, as well as the instructions for completing this form. Sponsors should call the Committee’s staff with any questions prior to submitting the form. Please type form.

1. Sponsor(s) (who will be paying for the trip)
   CAREY NEWS FOUNDATION

2. I represent that the trip will not be financed (in whole or in part) by a federally-regulated lender or a related foreign bank (sign if "yes" by checking box)

3. I represent that the trip sponsor(s) are not the same as any other source funds received directly or indirectly to finance any aspect of the trip (sign if "yes" by checking box)

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

5. Please name and title of ALL House visitors for each invitation, provide explanation of why the individual was invited (include additional pages if necessary), BASED ON COMMITTEE OR PARTY COMMITTEE WHERE IMPACTS U.S. CONGRESSIONAL RELATIONS ON WHICH THE MEMBER SERVES.

6. Date of travel: NOVEMBER 6-8, 2023

7. City of departure - destination - return: VARIES - DEPENDING ON MEMBER

8. Attach a detailed agenda of the activities taking place during the travel (i.e., an hourly description of planned activities) (sign if "yes" by checking box)

9. I represent that (check one of the following):
   a. The sponsor of the trip is an institution of higher education within the meaning of section 101 of the Higher Education Act of 1965.
   ☐
   b. The sponsor of the trip does not control or employ a federally regulated lobbyist or registered foreign agent.
   ☐
   c. The trip is for students at one-day event and lobbyist involvement in planning, organizing, requesting, or arranging the trip was not necessary under the Committee’s travel regulations.
   ☐

10. If travel is for participation in a one-day event (i.e., if you checked Question 9(a)), check one of the following:
    a. One-night’s lodging and meals are being offered.
    ☐
    b. Two-night’s lodging and meals are being offered.
    ☐

   If "☐" is checked, explain why the second night is warranted.
11. If the trip is not sponsored by an institution of higher education, I represent that a federal-registered lobbyist or foreign agent will not accompany the employee or employees on any segment of the trip (signify "yes" by checking box).  

12. Private sponsor must have a direct and immediate relationship to the purpose of the trip or location being visited. Describe the role of each sponsor in organizing and conducting the trip:

[CURRIE NEWS FOUNDATION (SEE ATTACHED)]

13. Describe each sponsor's organizational interest in the purpose of the trip:

[THE INTEREST OF CURRIE NEWS FOUNDATION IS TO PROMOTE, INFORM, TRADE, AND ESTABLISHMENT OF MEANINGFUL CONNECTIONS BETWEEN THE US AND THE COUNTRY]

14. Describe the type and class of transportation being provided. Indicate whether coach, business class or first-class transportation will be provided. In addition, the travel via aircraft, please indicate if travel is being offered as a commercial flight, chartered flight or on an aircraft operated or paid for by a citizen not licensed by the Federal Aviation Administration to operate for compensation or hire (i.e., a private individual). If first-class fare is being provided, or if travel is via chartered or private aircraft, please provide an explanation describing why such travel is warranted.

[REGULAR SCHEDULED AIR SERVICE, ECONOMY CLASS]

15. I represent that the expenditures related to travel and travel during the trip will be unrelated to personal or recreational activities of the invitee(s). (signify "yes" by checking box).

16. I represent that either (check one of the following):

a. The trip involves an event that is arranged or organized without regard to computational participation and that meets provided in or pursuant to or participate in other event provided: [ ]

b. The trip involves events that are arranged or organized specifically with regard to computational participation: [ ]

[ ] If "yes" is checked, detail the cost per day of travel (approximate cost may be provided).

17. Reason for selecting the location of the event or trip: [SEE ATTACHED]

18. Name of hotel or other lodging facility: [SONESTA MARCO ISLAND]

19. Cost per night of hotel or other lodging facility (approximate cost may be provided): $110.00

20. Reason(s) for selecting hotel or other lodging facility: [APPROPRIATE MEETING LOCATION]
21. **TOTAL EXPENSES FOR EACH PARTICIPANT**

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
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<td>200</td>
</tr>
<tr>
<td>Total Lodging Expenses per Participant</td>
<td>410</td>
<td>145</td>
</tr>
<tr>
<td>Total Meal Expenses per Participant</td>
<td>410</td>
<td>145</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other Expenses (if any)</td>
<td>3150</td>
<td>Conference Registration</td>
</tr>
<tr>
<td>Local Transportation</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

22. I certify that the information provided in this report is true, complete, and correct to the best of my knowledge.

Signature: [Signature]

Name and title: [Name and title]

Organization: [Organization]

Address: [Address]

Telephone number: [Telephone number]

Fax number: [Fax number]

Email Address: [Email Address]

The Committee staff may contact the above individual above if additional information is required.

If there are any questions regarding this form please contact the Committee at the following address:

Committee on Standards of Official Conduct
U.S. House of Representatives
224 Cannon Building
Washington, DC 20515

(202) 225-7101 (phone)
(202) 225-7792 (voicemail)
(202) 225-7172 (fax for travel approvals)
MEMBERS OF CONGRESS INVITED TO THE
THIRTEENTH ANNUAL MULTI-NATIONAL BUSINESS
CONFERENCE, NOVEMBER 6-9, 2008, ST. MAARTEN, N.A.

Congresswoman Diane E. Watson
Congressman David Scott
Congressman James Clyburn
Congresswoman Nydia Velazquez
Congressman Charles Rangel
Congressman Donald Payne
Congresswoman Donna M. Christensen
Congressman Edolphus Towns
Congressman G. K. Butterfield
Congressman Gregory Meeks
Congressman Jesse Jackson Jr.
Congressman Keith Ellison
Congressman Kendrick Meek
Congresswoman Maxine Waters
Congressman Melvin Watt
Congressman Robert Scott
Congressman William Lacy Clay
Congresswoman Barbara Lee
Congresswoman Carol M. Cheeks Kilpatrick
Congresswoman Corrine Brown
Congresswoman Eddie Bernice Johnson
Congresswoman Sheila Jackson Lee
Congresswoman Yvette Clarke
Congressman Danny Davis
Congressman Bennie Thompson
Congresswoman Laura Richardson

July 2008
Item #12

CARIB NEWS FOUNDATION is organized to provide education and information about the Caribbean in the area of Business, Education, Health and Culture, Promote Good neighborly within the United States and the hemisphere.

The participants are selected to participate in the various workshops during the Conference based on their demonstrated interest, expertise and assignment in the United States Congress.

Item #17

A Caribbean country whose proximity to other Caribbean Countries makes it conveniently located for delegates from the other Caribbean countries to attend.

Organized by Carib News Foundation, A non-profit project 501-C3 corporation
Caribbean Multinational Business Conference

THURSDAY NOVEMBER 6TH 2008

THE 2008 PROGRAM AGENDA

Theme: A Region in Transition - Strategy For Change - Building Attitudes

THURSDAY NOVEMBER 6TH 2008

1ST ANNUAL CARIBBEAN MULTINATIONAL BUSINESS CONFERENCE REGISTRATION

Time: 8:00 AM - 6:00 PM

TOWN HALL FORUM - AGENDA

Time: 5:00 PM to 6:00 PM

- Healthy Living: 'The Worldwide Challenge'
- Interactive Solutions For Life Styles
- Diseases: A Collaboration Against - Diabetes, Hypertension, Obesity, Oral Health

Venue: Royal Lancaster
Moderator: Dr. Morda Beye Smith

Sponsors: Mrs. Anne Beye-Enova, Congress Member Dr. Donna Christian Christenson, Commissioner
- Dr. Bionekpo Abang, Health Commissioner; St. Martin, Dr. John Palmer, Health Minister
- Dr. Jay Green, National Medical Association; Dr. Dean Hester, Mornin's Dental Academi, First Lady
- Muriel Beye Christian, Health Advocate

MULTINATIONAL BUSINESS CONFERENCE OPENING RECEPTION

Time: 6:30 PM to 7:30 PM
Venue: Wharf Plaza
Theme: A Region in Transition

MO: Atulika Hooe--Royal Caribbean Bakery

Sponsor:
- Fay A. Nelson, Hon. Roy Wood--Commissioner For Tourism & Finance, St. Martin

MULTINATIONAL BUSINESS CONFERENCE OPENING DINNER

Time: 7:30 PM to 8:30 PM
Venue: Wharf Plaza
Theme: A Strategy For Change

MO: Judge Sylvia Hinds-Realis

Sponsors: Susan Taylor & Hon. Donald Payne, Member Of The United States Congress

HOSPITALITY AREA

Time: 10:00 AM to 1:00 AM

http://www.caribbeanconference.com/conference/agenda.html

11/24/2008
Caribbean Multinational Business Conference

BREAKFAST - OCEAN TERRACE
Time: 6:00 AM to 6:45 AM

CONFERENCE RECEPTION (OCEAN TERRACE LOBBY) + CONFERENCE REGISTRATION (SABA ROOM)
Time: 9:00 AM to 6:00 PM

BRIEFING ON FORMAL OPENING CEREMONIES
Time: 9:00 AM to 9:59 AM
Venue: Saba Room
Theme: Building Alliances For Progress

Introduction - Mrs. Susan Johnson-Clark
Artists - Saint Maarten: 'Let Every Vision' by Kensitive

Remarks - Erik Erke, Karen Boykin-Turner, Marlo Long, Ed Goldsang, Patrick Glasson, Hazel Dubois


RIBBON CUTTING CEREMONIES
Time: 10:15 AM to 10:30 AM Coffee Break + 10:30 AM to 11:45 AM Presentation

EDUCATION - TECHNOLOGICAL ADVANCES COLLABORATION

Moderator: Dr. Emmanuel Goulas
Guests: Mona Long
Speakers: Dr. Edwin Jodan, Patrick Glasson, Dr. Maxia Kojo, Congregations: Eddie Bearn, Johnson, Professor Rice Nettleton

PRESENTATION - INTERNATIONAL TRADE AND TOURISM TODAY'S ECONOMIC ENGINE
Time: 10:45 AM to 11:45 AM

Moderator: Wendy Williams, President & CEO of the Senator Northern Chamber Of Commerce
Guests: Wesley Ford
Speakers: Governor: Roy Martin, Howard Jodan, Congregations: Gregory Beatty, Professor Rice Nettleton, Dr. Martin Vidalis

PRESENTATION - HEALTH AND ECONOMIC DEVELOPMENT STRATEGY FOR THE REGION
Time: 12:00 Noon to 1:15 PM

Moderator: Yvonne Graham
Guests: Hon. Evelyn Rivero
Speakers: Dr. Edmond Douglas, Dr. Carl Ross Peone, Commissioner: Mario Banneper Molopers, Health Commissioner: Dr. Martyn, Dr. Duttar McFarlane

LUNCH
Time: 1:20 PM to 2:00 PM
Venue: Main Ballroom
Theme: Building A Working Strategy - Partnerships That Works

Moderators: Hon. Nick Poon, YVE Assembly
Speakers: Z meke Speaker Hon. David Paterson, Governor: New York State

ROUND TABLE ONE - EDUCATION - TECHNOLOGY PRESENTATION & DEMONSTRATION
Time: 3:00 PM to 4:00 PM
Venue: Royal Island A

NC-GT: Patrick Watoedim
Speakers: Patrick Glasson, Albert Browne

ROUND TABLE TWO - LOCAL BUSINESS INITIATIVES
Time: 5:00 PM to 6:00 PM

http://www.caribbeanconference.com/conference 05/agenda.html

11/24/2008

09-6333 0010
Caribbean Multinational Business Conference

SATURDAY NOVEMBER 8 2008

SEAPORT - OCEAN HARBOR

PRESENTATION - WOMEN OF INFLUENCE AND POWER
Time: 8:00 AM to 10:00 AM
Venue: Nettleton

Greeting & Opening Remarks - Brenda Raett
Moderator: Marilyn Johnson

Speakers: Commissioner Shae Wynn Williams, Leader of Government Business, Darvis Elliot Miller, Foreign Deputy Prime Minister of Barbados, Dr. Marcia Neild, President of York College, Marjorie Putnam, First Lady New York State, Congresswoman Eddie Bernice Johnson, Hon. Dr. Beazer Johnson (Mr)

PRESENTATION - THE CARRIABEAN: IT'S VALUE & POTENTIAL IN TIMES OF CRISIS
Time: 10:15 AM to 11:45 AM
Venue: Royal Harbour

Greeting: Wallace Ford
Moderator: Darvis Elliot Miller

Speakers: Hon. F.J. Parton, former Prime Minister, Jamaica, Hon. Dr. Ralph Gonsalves, Prime Minister of St. Vincent and the Grenadines, Hon. Dr. Denzil Douglas, Prime Minister of St. Kitts-Nevis, Congressman Charles Rangel

PRIVATE MEETING CLOSED DOOR SESSION WITH Members Of Congress & Minister Of Government
Time: 12:00 Noon to 1:30 PM

PRESENTATION - TRADE & INVESTMENT - CREATIVE SOLUTIONS RETOOLING FOR GROWTH - PARTNERSHIP AT WORK
Time: 1:30 PM to 3:00 PM

Greeting: Michael Fleckes
Moderator: Joshua Thielman

Speakers: Hon. William Thompson, Comptroller, NYC, Adolpho Guevarra, Borough President, Bronx, NY,
Caribbean Multinational Business Conference

PRESENTATION - AEROPORT SECURITY - PORTS/AIRPORTS - CRIME, CRISIS, DISASTER
IN CHALLENGING TIMES
Time - 12:00 Noon to 1:30 PM
Venue - Royal Islander II

Greeting - Lord Brown
Speaker - His Hon. P.J. Pottawom, former Prime Minister of Jamaica & President of Helo Kentoffs, Dr.
Kempson Erasmus, President GOD

ROUNDTABLE ONE - IMPROVEMENT & DEPUTEES
Venue - Royal Islander A

Moderator - Dr. Hans Haugen
Speakers - Congressman Bertie Thompson, Hon. Eddie Barrie Johnson, Member US Congress,
Attorney General Reidwns, NYC Consultant Dr. Dennis Stewart

ROUNDTABLE TWO - HAVIT HOLDEK PATRIETE - THE DISAPPEAR - CBC & CANFISH
Venue - Royal Islander B

Moderator - Hon. Yvonne Graham
Speakers - Hon. Glenda Rankle, Hon. Gregory Massa, Hon. Ralph Swain, Dr. Leslie Kurvisc

TOWN HALL FORUM - TECHNOLOGY
Venue - Royal Islander A

Moderator - Gabe Ward
Greeting & Opening - Marie Lang
Speakers - Congressman Edith Whitman, Albert Bowens, Commissioner of Technology,
Congressman nets, Berrie Johnson

GALA RECEPTION
Time - 5:30 PM to 7:30 PM
Speaker - Susan Tate

GALA DINNER & AWARDS PRESENTATION
Time - 7:00 PM to 10:00 PM
Speakers - Dr. Harry Badarou, Hon. Sarah Wooten Williams, Leader of Government Business

HOSPITALITY AREA
Time - 10:30 PM to 1:00 AM
Venue - Hotel Conference Room

SUNDAY NOVEMBER 9TH 2008

http://www.caribbeanconference.com/schedule 01schedule.html

11/24/2008

09-6333 0012
U.S. House of Representatives
Committee on Standards of Official Conduct

PRIVATELY SPONSORED TRAVEL: TRAVELER FORM
For Members, Officers, and Employees

This form should be completed by House Members, officers, or employees seeking Committee approval of privately-sponsored travel or reimbursement for travel under House Rule 35, clause 5. The completed form should be submitted directly to the Committee by each invited House Member, officer, or employee, together with the completed and signed Private Sponsor Travel Certification Form and any attachments. A copy of this form, minus this initial page, will be made available for public inspection. Please type form. Form and any attachments may be faxed to the Committee at (202) 225-7992.

YOUR COMPLETED REQUEST MUST BE SUBMITTED TO THE COMMITTEE NO LESS THAN 14 DAYS BEFORE YOUR PROPOSED DEPARTURE DATE. Absent exceptional circumstances, permission will not be granted for requests received less than 14 days before the trip commences.

Name of Traveler: **Charles B. Rangel**

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

_**Signature:**_

Name of Sponsor/Other than Traveler:

For staff, name of employing Member/Committee:

Office address: 2350 Rayburn House of Representatives

Phone number: 225-2451

Email address of contact person: reach.of.ange@del.com

☐ Check this box if the sponsoring entity is a media entity and the traveler is a Member traveling to make a media appearance sponsored by the entity and these items are being submitted to the Committee less than 14 days before the trip departure date.

NOTES: You must complete the contact information fields above, as Committee staff may need to contact you if additional information is required.

If there are any questions regarding this form, please contact the Committee:

Committee on Standards of Official Conduct
U.S. House of Representatives
HTC2, The Capitol
Washington, DC 20515
(202) 225-7002 (phone)
(202) 225-7392 (fax)

*Please note: This page is protected as a Committee on Standards of Official Conduct.*

09-6333 0014
U.S. House of Representatives
Committee on Standards of Official Conduct

PRIVATELY SPONSORED TRAVEL - TRAVELER FORM

1. Name of Traveler:  
   Congresswoman Charles B. Rangel

2. Synergy(s) (who will be paying for the trip):
   Alacran, Inc.

3. Travel Destination(s):
   St. Maarten

4. a. Date of Departure and Date of Return:
   November 6 - 9, 2008

   b. Will you be accumulating the trip as personal expense?
      Yes / No

   If yes, dates of personal expense:

5. a. Will you be accompanied by a family member at the sponsor's expense?
      Yes / No

   b. If yes, name of accompanying family member:

6. a. Did the trip sponsor answer “yes” to Question 2(c) on the Trip Sponsor form (i.e., the travel is being
      sponsored by an entity that employs a lobbyist)?
      Yes / No

   b. If yes, check one of the following:
      ☐ No – Trip sponsor checked 8(c) or 9(b)

7. Private Sponsor Travel Certification Form is attached, including addenda, invoices, etc., and any other
   documents (indicate that form is attached by checking box) ☐

8. Explain why participation in the trip is consistent with your individual official or representational duties:

9. FOR STAFF: I declare that the information contained in the above is true to the best of my knowledge.

   Signature of Traveling Member:

NOTE: This report must be submitted within 15 days of your return, so you should maintain a photocopy of the completed form for your records.
Dear Colleagues:

Pursuant to House Rule 29, clause 9(b), the Committee on Standards of Official Conduct hereby approves your proposed trip to St. Martin, St. Maarten, scheduled for November 2 to 9, 2008.

You must complete a Member Travel Disclosure Form and file it with the Clerk of the House within 15 days after your return from travel. As part of that filing, you are required to attach a copy of this letter and the Private Sponsor Travel Certification Form, including attachments. You must also report all travel expenses exceeding more than $355 from a single source on Schedule VII of your annual Financial Disclosure Statement.

Because the trip may involve meetings with foreign government representatives, we note that House Members may accept, under the Foreign Gifts and Estates Act, gifts of minimal value (currently $355) tendered as a souvenir or mark of courtesy by a foreign government. Any expense gifts valued in excess of $355 received from a foreign government must, within 60 days of acceptance, be disclosed on a Form for Disclosing Gifts from Foreign Governments and other incurred costs to the Clerk of the House, or, with the written approval of the Committee, retained for official use.

However, we would note that since this trip is scheduled to commence after the general election on November 4, 2008 and because officially-connected travel must be related to official duties, it may be questionable whether a Member who was not restricted in the general election should accept as an inclusion for a trip that is fact-finding in nature. Arguably, as of that time, the official responsibilities that may justify the acceptance of travel expenses for such a purpose will have come to an end. This consideration generally will not limit the Committee's authority to approve travel of a departing Member to participate substantially in an officially-related event (for example, to give a speech). Please keep this guidance in mind, as you may need to reevaluate your ability to participate in the trip following the election.

Sincerely,

[Signature]

U.S. House of Representatives
Committee on Standards of Official Conduct
Washington, D.C. 20255

October 23, 2008
The Honorable Charles B. Rangel  
October 21, 2008  
Page 2  

If you have any further questions, please contact the Committee's Office of Advice and Education at extension 5-7193.  

Sincerely,  

[Signature]  

Acting Chairman  

[Signature]  

Ranking Republican Member  

GGO267pp
EXHIBIT 2
CONFIDENTIAL

Subject to the Non-disclosure Provisions of H. Res. 895 of the 110th Congress as Amended

OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Memorandum of Interview

In Re:  Representative Charles Rangel
Review #:  09-6333; 09-2567; 09-4403; 09-3698; 09-2222
Date:  May 28, 2009
Location:  163 West 125th St.
           New York, NY 10027
Time:  2:15pm to 3:30 p.m. (approximately)
Participants:  Leo Wise
              Omar Ashmawy

Summary:  Representative Charles Rangel is a Member of the United States House of Representatives representing the Fifteenth District of New York. He was interviewed pursuant to Review 09-6333; 09-2567; 09-4403; 09-3698; and 09-2222. We requested an interview with Representative Rangel and he consented to an interview. Representative Rangel’s counsel was present via telephone. Representative Rangel made the following statements in response to our questioning:

1. Representative Rangel was given an 18 U.S.C. § 1001 warning and consented to an interview. Representative Rangel signed a written acknowledgement of the warning.

2. Representative Rangel attended the 13th Annual Caribbean Multi-National Business Conference in St. Maarten. While attending the conference he stayed at a hotel on site. His room was an ordinary, single room. He arrived at the conference on Friday and left on Sunday. He did not attend the off-site reception.

3. He was invited to the conference because of his interest in the region and trade with the region. He was the original sponsor of Caribbean trade initiatives and officials in the Caribbean governments knew of his interest in the region. The conference is a good place for Representative Rangel to build relationships with both local New York officials and officials in the Caribbean.

RANGEL MOI – Page 1 of 5

Office of Congressional Ethics

09-6333 0019
4. While attending the conference, Representative Rangel did not eat separate from the
c Prosecution sessions.

5. When asked who invited him to the conference, Representative Rangel replied that his
chief of staff, George Dalley, invited him. Mr. Dalley has known the Rodneys longer
than Representative Rangel has known them. The Rodneys deal with Mr. Dalley and Mr.
Dalley does all the paperwork.

6. Representative Rangel met the Rodneys about 20 years ago during a trip to Jamaica. The
Rodneys were part of the host/welcoming committee that greeted him. Afterwards,
Representative Rangel learned that they published the CaribNews newspaper. Other than
at his fundraisers, the only time Representative Rangel sees the Rodneys is at the
conference or at a fundraiser for the University of the West Indies.

7. The relationship between the Rodneys and the conference is that the Rodneys are the
conference.

8. Representative Rangel was shown the pre-travel forms for the 2008 trip. He identified
his signature and remembered signing the forms.

9. Representative Rangel assumed his travel arrangements were made by Mr. Dalley as he
was in charge of making the arrangements. When asked for more details, Representative
Rangel said that there were no tickets or anything else. His driver knows where to go, the
Member shows up, shows his identification at the counter and is asked where he is going
and then he is on a plane and at his destination.

10. The Member was shown a copy of his tickets for the trip in question and stated that he
had not seen them before. The airline would have given him something to find his seat
but that was it. He did not know if he had an electronic ticket. Representative Rangel did
remember having something that got him to the plane, but did not remember ever seeing
plane tickets.

11. When asked about paperwork, the Member stated that there was no paperwork except for
what went to the Standards Committee and that was just him signing documents.

12. The Member was shown the post-travel forms and identified his signature. Both the post
and pre-travel form were filled out by Mr. Dalley. Mr. Dalley did not show him any
documents supporting the amounts shown on the forms. Representative Rangel had no
idea if the numbers on the forms were accurate. He did not know how much his meals
cost or even what "transportation" means other than his flight. Representative Rangel
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stated that Mr. Dalley did not make up the numbers and assumed Mr. Dalley was fulfilling his obligation to the Standards Committee and to Representative Rangel.

13. Representative Rangel was not aware of the host government’s participation in the conference. He knew that they provided protection for him, but other than travel from the airport to the hotel and back he did not use it. He was given a number to call if he wished a car and police escort, but did not utilize the number.

14. When asked: Other than host, did you know what St. Maarten provided to the conference? Representative Rangel stated he did not know, and asked how he would know and that he had no idea.

15. The Rodneys attend the conference as part of the CaribNews Foundation. The foundation was the conference. They put the program together and invited him.

16. Other than the conference, the Member has not participated in any other event or function conducted by the foundation. He was not aware of anything the foundation does other than the conference nor has he been involved in any other program sponsored by or planned by the foundation.

17. Representative Rangel did not remember any corporations identified as sponsors. He stated he knew the fact he did not remember was a problem, but he simply did not remember.

18. With the exception of Golden Krust, he did not remember any business people or sponsors identifying themselves as representatives of business.

19. Representative Rangel did not participate in the conference except where he was asked to speak. If his name was not on the agenda for a particular program then he was not there. He only went to one breakout panel because it was hosted by David Dinkins and Mr. Dinkins had attended the panel hosted by Representative Rangel. When he was not participating in the conference the Member walked around, went to town for a brief trip, did some reading, and spoke to Mr. Dinkins. He did not go to the beach or anywhere else.

20. The only people he recognized at the conference were other Members of Congress and people he knew from the district. He never recognized anyone from any corporation. He did not see them and they did not identify themselves as sponsors.
21. Representative Rangel would not know Mr. Michael Flannigan if his life depended on it. Neither did the Member recognize the names Marilyn Johnson, Ed Goldberg, Patrick Gaston or Albert Browne.

22. The Member did not know how the CaribNews Foundation put on the conference. It has never been an issue and he has never discussed the matter with the Rodneys. Representative Rangel did not know how they function.

23. Representative Rangel did not know the nature of the foundations 501(c)(3) status. He just knew they were charitable. He specifically did not know if they were a private foundation or a public charity. Neither was he aware of any limitations on travel paid by a private foundation. The only thing Representative Rangel knew was that if the Standards Committee told him he could go, then he could go. He was not aware of any IRS restrictions on private foundations, but assumed the Standards Committee would know.

24. The event identified in the agenda as a closed door meeting with Members of Congress was a meeting between the Members and foreigners and those concerned with the politics of America. The meeting was for off the record issues. Representative Rangel was adamant that corporate sponsors of the conference did not attend the meeting. There was no one who was in a room with him that identified themselves as corporate sponsors, especially in the closed door session as it would have been offensive for corporations to have been present.

25. When the rules changed in 2007, the Member did not get any training on the changes, but he assumed that Mr. Dalley knew what he was doing. He assumed that Mr. Dalley did everything right especially in light of the Member’s reluctance to attend the conference. Mr. Dalley gave the Member reason to believe he was having many conversations with the Standards Committee and that Mr. Dalley was following the rules.

26. Representative Rangel has not spoken to the Rodneys since the conference. He has spoken to Representative Carolyn Kilpatrick, but only about the fact she was contacted by OCE. He has not spoken to any other member of the Congressional Black Caucus. The Member has not even spoken to Mr. Dalley because Mr. Dalley said that it might not be a good idea given the fact that both men were going to be interviewed by OCE. Representative Rangel presumes that Mr. Dalley feels that he did not provide the Representative with the kind of service he should have.
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27. Representative Rangel then stated that he wished he had paid more attention when the OCE was being formed and that when this is over he will take a good look at the process. He stated that he was informing us as public servants, that if a newspaper reporter can do this, reputations can be damaged. The mere fact that this can get to stage two meant that he owed Congress and this process to make sure it is as fair as the people who sold it said it was.

I prepared this Memorandum of Interview on May 28, 2009 after interviewing Representative Charles Rangel on May 27, 2009. I certify that this memorandum contains all pertinent matter discussed with Representative Rangel on May 27, 2009.

Omar Ashnawy
Investigative Counsel

RANGEL MOI – Page 5 of 5

Office of Congressional Ethics

09-6333 0023
EXHIBIT 3
TRANSCRIPT OF AUDIO FILE:

11-7 AM SESSION - FIRST 30 MIN

Thank you for working with AccenScript for your transcription needs. The text below represents a professional transcriber’s understanding of the words spoken. No guarantees of complete accuracy is expressed or implied, particularly regarding spellings of names and other unfamiliar or hard-to-hear words and phrases. "[phr]" or "[irt]" indicate phonetics or best guesses. To verify important quotes, we recommend listening to the corresponding audio. Timestamps throughout the transcript facilitate locating the desired quote, using software such as Windows Media or QuickTime players.

BEGIN TRANSCRIPT:

KARL RODNEY: ...Mike Flamian how through the year his division has been supportive of the Mission and the Conference. And so we want to say thanks to it. You’ll be hearing from Mike later but it’s a great team to have working and great partners. We have Pfitzer and a big supporter of (inaudible) aspect. Karen Boykin-Towens is not here, she has been able to in the past eight years and there’s a death in her family and so she’s not here to begin. Through the years work had done in the Caribbean circle in the United States and then a special touch to our work that can be done not only on the delivery of health care but overall awareness. [00:01:30.6]

And over from Macy’s and its very fine team has been innovative in outreach to various locations we’ve gone to, finding new vendors, developing new contacts and really helping to make the conference a success by engagement of our local participants. So Ed and Brenda are tremendous supporters and we’re so delighted that they’re here with us.

IBM and Marilyn Johnson, Marilyn is Vice-President of Market Development, responsible for strategic marketing for Black, Asian and Hispanic, Native American and Women. Marilyn’s a dynamic partner and you’ll be hearing from Marilyn also. You should be alert that between Brenda and Marilyn tomorrow is Women’s session is going to be something to talk about. [00:02:09.5]

Marie Long is here from ATT but ATT has supported the Conference all 13 years. We started with them. They made sure that the Vision, the Mission of the Conference is supported through the many years.

We have with us Mr. Pat Gaston. Mr. Gaston is the President of Verizon Foundation, one of the largest private foundations in the United States. And Mr. Gaston has made his mark in moving that foundation to be a force in education in the United States. We are delighted he is here to be with us and to introduce a wonderful program that has been very effective in the United States (inaudible) to see if there is potential here in the Caribbean. So, Patrick, we are delighted you are here and we look forward to your presentation. [00:03:14.9]
Preferring Health and a wonderful group of doctors. Dr. Valdez, Dr. Carl Kotel-Pierre, Dr. Kernisant, a group of doctors who have a network of clinics through the United States but they also see and want to have that expanded to the Caribbean and also to bring a new kind of emphasis with respect to health tourism to the Caribbean and so they're here today also.

Dale Morris from American. American has been a partner with us for several years. Dale is expected to come in later on today but we want to acknowledge American and want to say "thanks".

Lloyd Williams from the Harlem Chamber of Commerce enough of his members are around and Lloyd has been supportive of this Conference from its inception and the Chamber has always been here with us and so we want to say "thanks" to Lloyd. [0:9:20.9]

Medgar Evers College under the dynamic leadership of President Edison O. Jackson has not only brought to the Caribbean a new vision of education, a new initiative with respect to men and empowerment but also the team that you see moving around they're from Medgar through the instrumentality of President Jackson working with us to document the Conference. It will be available too for a widespread distribution afterwards. So Medgar has been a true partner in making this Conference and this Mission work. [0:0:07.0]

Turner Construction, we have had a working relationship with Rev. Hilton Smith, he has attended several conferences and now he's with his colleague John Pierce to be a partner in the Mission of the Conference.

And, of course, the government of St. Maarten's under the dynamic leadership of leader Sarah Westcott-Williams and her dynamic team. We have always been working with - we always work with the leader and her dynamic group and we are just delighted at her own creative vision, her own determination and dynamic way of dealing with the Mission and dealing with the situation at hand. And we met with Commissioner Westcott-Williams and her team and she had a vision to suggest the theme of the Conference, a sense of transition, stretching for change and building the land session. So it was with that kind of background that we're here and to St. Maarten's we say, "Thank you very, very much." [0:0:31.4]

We have so many great partners that we shall hear from throughout the morning. We have through the conventional Black Caucus and their members a set of agendas that have been accomplished, policies that have been achieved and programs that have been enhanced. And through the years they have been very effective when they have attended the Conferences our own (unintelligible).

It was here at St. Maarten's six years ago that a group of hoteliers and vendors approached the members of our caucus to suggest that the Caribbean had been treated unfairly with respect to the duty-free allowance going into the United States. And it was within six months that it was changed through the effort of the members of the Black Caucus and the Caribbean is better. And the Caribbean has benefited through millions of dollars of duty-free items that you know come through to the Caribbean.
It was also here in St. Maarten's that the issue of tax exemption for conferences held in the Caribbean was again brought to the attention of the members of the Congressional Black Caucus and again that was achieved within a year. [0:08:08:2]

And so we've seen that kind of work constantly throw it's really the conference. So we can try to serve real achievement in fact in this room there is a couple that came from Denver to Barbados for their first conference and they have built a region wide distribution for ice cream and fast food. And this has grown considerably.

It was also through the Conference that a small technology company with the value of $2 million came, get a contract and that company in two years became a $12 million company. And we've seen that kind of connection throughout the Conference. We could point to Barbados where technology was enhanced with respect to TTT work with the local Barbadian telecommunications company, St. Croix the fiber optics center, Grenada an oil refinery, all coming up with the expertise of the Conference to the (inaudible). [0:09:30:7]

And so the mission is there to continue, the Mission is there to enhance, the Mission is there for us to make it work particularly now when we see the change has come and we can now come together to pass the agenda and to look forward to this kind of strategy for change. And so we want to welcome you. We promise that our sessions are going to be interesting. We have some of the best speakers that you can find on the various topics. We're going to see more when we get together the support we can bring to each other. The support we can provide with respect to the new work and certainly when we go back in the Caribbean we can really see results. We can come together as a people. You've been a great Conference. Thanks so much for being here. God bless. [0:10:28:4]

REV. DR. SUZAN JOHNSON-COOK: Thank you Mr. Rodney and we also thank you Mr. Rodney as well. With interest we're here on the wave of the man who campaigned about change and on this transition to change and also strategic alliances. And we hope that will happen for you while you're here. Mr. Yode mentioned all of the sponsors who were with us and the partners who helped to make this happen and we're going to hear from three of them at this time at this quarter, Michael Flanagan from Citibank (Citi) and Ed Goldberg, Senior Vice-President at Macy's and Community for the Relations, and Patrick Gaston the President of the Verizon Foundation. In that order we will receive them this morning as they come, please. (clapping) [0:11:15:6]

MICHAEL FLANIGAN: Good morning.

ALL: Good morning.

MICHAEL FLANIGAN: It's really a pleasure to be here. As you heard before, Eric is on his way so I have the great privilege and honor of putting in for Eric. But first just wanted to say thank you and again welcome to the 13th Annual Caribbean Business conference. This year was significant for Citi. For the first time we are the lead sponsor of this premier event. But I would be remiss in not thanking the organizers and our hosts here at St. Maarten so to the
We also of course have to thank the Rodney's as being 13 years in ensuring that this vision is carried out and delivered all across the Caribbean and I don't call to talk about some successes but I think one of the most important success that I think that I've experienced in coming to the Conference for the last six or seven years is just reunited with his great family. It's all about developing our communities. About what we're all about the same thing, I think. We're all on the same page. We're all about the same agenda. And we're all about making sure that we absolutely care about each other. Yourself but we care about the broader community. So it's always a pleasure to be here. I got re-energized every time I come. And so it's - I look forward to it. So it's one conference that I will never miss.

This Conference is an important gallery that makes a tangible contribution to dialog on the issues of important to communities. From recognizing the untapped wealth for underserved communities to building property alliances so that together we can build healthy, robust, organic economies. Today and tomorrow and even into Sunday are very important to that conversation at least to building a winning strategy to succeed in these turbulent economic times. I trust that we will all take full advantage of the great minds and the leaders that we are privileged to spend time with. I know my Citi bank bucks (inaudible) are ready. Thank you so much for having us here at Conference. (clapping) [0:13:58.2]

ED GOLDBERG: Good morning everyone.

ALL: Good morning.

ED GOLDBERG: As Mike said it's really a pleasure to be back with family today. We look forward to this Conference every year. Obviously, we hope that there will be many, many more over the years to come. I learned something from David Dinkins several years ago when you have a whole list of dignitaries in the house, the best thing to say is, “Presley, protocol observed.” So, Mr. Mayor, thank you for those kind words. (laughter)

Now a week and a half ago, Macy's celebrated its 150th anniversary. (clapping) When you think about anniversaries of companies today to believe that somebody could be around in the retail industry in particular for 150 years is quite an amazing feat. I'm sure that when R. H. Macy opened its store in lower Manhattan on 14th Street on October 28, 1858, he did not have the vision that the company some day; number one would last for 150 years; or that it would employ 225,000 people; or that they would do $27 billion a year in business; or for being in 46 of our 50 states; and also the opportunity of having a business in 64 or 65 major markets in the United States. [0:15:50.9]

But today I'm here to talk more about the Caribbean contract. The fact that we have been supportive of Carolyn Pay and this particular venture for the number of years but more importantly the fact that we come here to look for that spark that will ignite an opportunity to
find that next Martha Stewart; that next design; or that new product that’s going to sell in our stores such as we’ve done with the Rwandan peace baskets and products like that. And I think it
is really why our Mission is so important; it’s not just a question of change, not just a question of transition but it’s building those ties and looking for those opportunities. That I think will bring us closer together.  [0:16:15.9]

There’s no question that we all face difficult times but I believe that the Caribbean is our
backdoor and the bottom line is opening for us for expansion. No, I don’t think we can build
250,000 sq. ft. mall stores but Macy’s has to learn to transition how do we conduct business in
the Caribbean communities. And I think we’re going to find that way and obviously this
particular convention is one of those opportunities to do so.

You all know Brenda Scott, my wife. (laughter), Judy’s back in the room sleeping so I can say
that. But Brenda and I have been together for more than 20 years. We have obviously been very
much involved in our communities where we do business and we still believe we have a long
way to go. But our mission is being supported by a great Chairman, Terry Lundgren, and the
people of Macy’s, so obviously we look forward to developing these bridges and developing the
relationships. And I hope that in the not too distant future, we will be talking about a Macy’s
store here in the Caribbean. So enjoy your convention. I hope I’ll get a chance to talk to each and
every one of you as the time goes by over the next couple of days. And again, thank you so
much, Carolyn Pay for the great work that you do. (clapping) [0:17:32.9]

PATRICK GASTON: Good morning everyone.

ALL: Good morning.

PATRICK GASTON: Thank you, Karl, for the wonderful introduction. Thank you, Michael and
Ed for those great remarks. I wanted welcome from our CEO, Ivan Steedenberg, and our 225,000
employees, many of whom are from the Caribbean mission including me. I want to acknowledge
my colleagues and members of the public sector, members of the community, and I also, I guess,
want to respect present protocol. Okay, but I have to single out a couple people, right? So thank
you to the leader of government Sarah Westcott-Williams for hosting us today and the great
people of St. Maarten. It’s a delight to be here here. This is my eighth time in St. Maarten and I
may stay. (laughter) It’s wonderful. I want to acknowledge Karl Rodney for his exceptional
ability to bring people together to recognize the collaborations that are important for business
development. He does so with the grace that I admire and it’s the first time I’ve had the chance to
be here with you, Karl, and it’s an honor to be here and a privilege so thank you for inviting me.
[0:19:06.0]

I want you all to recognize Rex Nettleford, I don’t know if he’s in the audience still. But Rex and
I have known each other for about nine years when I first joined the Foundation of the University
of West Indies Board of Directors. And one of the things that attracted me to the University in
addition to Karl, of course, was that Rex was the lead of leader that reflected a lot of
commitment and enthusiasm about education; something that I care deeply about. And over the
years has provided me with his counsel and friendship and I thank you for that, Rex. (clapping)
You know, Verizon does not have a retail presence in the Caribbean and I hope some day we will. But we do provide global Internet networks that help to provide a lot of communications that you might experience here. So I think we're in the game and we realize the value of technology to ensure that folks have access to incubation and education. In my case at the Verizon Foundation, Karl mentioned that I head up the Verizon Foundation and our emphasis is on education. And what we're trying to do is deliver resources to teachers in the classroom that need it really badly. So we're developing content and we're taking it out to our partners, we're taking that content and making it available through our technology platforms so during the course of today in the discussions that we'll have, we'll talk about this resource. Which, by the way, is offered free of charge to teachers around this country and now around the globe, so we want to make sure that we present this resource as another thing that this community can use and use it in a very that's free. So I'm looking forward to this dialogue and I'm excited about this Conference and I thank you very much, Karl, for inviting us to hear quality.

(REVEL DR. SUZAN JOHNSON-COOK: Thank you very much. I loved language in school. I remember othomotopen and placu and those words and anything... I remember the words that sounded alike but sometimes they were synonyms when you said the word you could understand what it meant, it was synonymous with something. So when we say the words, "trust line", "civic leader", "activist", "Miss NAACP", "world leader", "you don't want to mess with her", you know it is synonymous with Hazel Dukes and we want to hear from her, our God, mother, our community, don't you think I'm right? (clapping) Miss NAACP, Miss Lester, our dignitary, let us receive this morning, the Honorable Hazel Dukes of New York City. Are there any New Yorkeers in the house? (clapping) Let's get a little noise over here. All right.

HAZEL DUKES: Good morning.

ALL: Good morning.

HAZEL DUKES: This is my 12th Conference. Missed only once because I had a broken ankle and it was just four weeks before the Conference, not once, so on the cast. But let me say to you, and Karl that they have been the glue without the (inaudible). They are for us 24-7, Not only just in New York City but the islands we have attempted. The NAACP will be celebrating its 100th anniversary in New York City. (clapping) In July 14 through July 17. Medgar Evers, the college, the university, the (inaudible) of the city of New York, when George Blackburn and I sit and watch TV and we hear all people go over their history, people forget that it would not have been possible if it was not for those names, Medgar names known so many others in Alabama for Roscoe, decided to sit. So Maudie could stand. Maudie could not have stayed if Rosie hadn't of set. Rosie was the Secretary of the NAACP, the National Association for the Advancement of Colored People. The Colored People in all colors, when you make your beautiful salad you just don't want all greenery in it. Even with your omelet this morning you could have a mixture, of beautiful flowers. I have to have all colors. And so for a hundred years this old ship resigned, been around. Lord, I was reminiscing last night (inaudible) when we went to the Congregational Church there was only six. We used to go to the Hilton Hotel. And we held court. When we started in Albany there was no black and Puerto Rican caucus, there was the
now, the next mayor for the city of New York, Bill Thompson's father, who was the regional director for the NAACP who went on to be now retired. [0:24:54.4]

It would not have been 106 years of New York City of Percy's son, a former President of the New York City branch of the NAACP, Ralph Ellison (sp), Secretary of State and now the governor of the state of New York has his first job at the NAACP. So I want us to learn history so we can have our brothers and sisters in (inaudible) and those who are coming to the shore of these United States to understand the kitchen of our connectiveness to (inaudible). How soon you could forget the history that those from the Caribbean have played to make America what she is today. [0:25:54.4]

And so I join with Karl and Pay every year I look here because they joined with me in New York City trying to break the (inaudible) of the two communities because left Johnson, said this morning, Cook said this morning, Johnson Cook said this morning. "When we join hands together, when we come and talk about the multi national conference, we're global now, we can't think we just in Brooklyn, but we can't think we in the布朗克斯, we can't think we in Manhattan, and we're all over this country. And when we saw the crowd of people, black and white, Jew and Gentile, Muslim, Asians, all across this country who came out for Obama, it is a change in America. And then we African-Americans and the Caribbean have to absolutely solidify our tie. Because if America is to be what she was born to be, it would be that on behalf of our new President Barack Obama who I'll promise will be here next year, 35-year-old Rhodes scholar, ingratiable young brother who is so excited where we are going. And my sisters in the Congressional Black Caucus and my brothers, we going to get it together. As our Congresswoman told us yesterday, "We're tired of talking about it. It's (inaudible) we are sick and tired of being the sick and tired." And so when we leave here, we will be better off because we came together to make new friendships, to re-energize, and I would say to Karl and to Pay, our sincere gratitude to you for bringing us together as a family each year. Some of us even don't have enough time to sit. That's why Laura convinced me to come a day early. Even if it don't know what's happening with my 401K (laughter) I'm nervous, Mr. Comptroller man. I don't know about vacation but we thought it not right not to come here and be with our family. Thank you so much. [0:28:13.4] (clapping)

REV. DR. SUZAN JOHNSON-COOK: We thank you so, so much. He began his second term in January 2006 as the 42nd Comptroller of the City of New York. He's come from a distinguished family, a famous judge and a mother as a public school teacher, but he has distinguished his own path. And he has become a wonderful Comptroller of New York City and he has responsibility for all the city's pension funds. He's just a good brother. He's here with us today, hope to be the next mayor of the city of New York. Let's put our hands together for William C. Thompson, Jr., the Comptroller of a great city of New York, New York. All right?

WILLIAM THOMPSON: Thank you Reverend for that very wonderful introduction and it's good to see you here as our Master, or Mistress of Ceremonies, this morning. And I go ahead and make a mistake, I should have had the Mayor open up for me because he usually does it correctly. But to our leader of government, Commissioner Westcott-Williams, to the members of government here in St. Maarten, my colleagues in government all over the United States, friends, good morning.
ALL: Good morning.

WILLIAM THOMPSON: It is definitely a pleasure to be back again even though following Hand to the microphone is always an indubitable thing to do. [0:30:01.1]

END PART I
TRANSCRIPT OF AUDIO FILE:

11-7AM Session - 30 thru 75 min

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BEGIN TRANSCRIPT:

(Part 2 - beginning at 36:00 through 1:15)

WILLIAM C. THOMPSON, JR.: It's good to be back again and let me first start out by thanking, and I always term them as I did last year and I have continued to do it over a period of time, termed them the "dynamic duo." [Applause at 36:16.7] They happen to be, when it comes to vision - and that's exactly 13 years ago when putting this conference together, they had a vision. It is something that they have never taken a step back from. They continue to move forward. They continue to bring us together. And while we have the opportunity to meet, to have conferences in some wonderful places, just fabulous environments and that is the truth, but they work, they work, they work, they work and we understand that we may meet in a wonderful environment, you walk outside and it's gorgeous, but we are here to accomplish things. [36:58.7]

Karl mentioned when we were here before, and I remember the discussions with the members of the Congressional Black Caucus and it wasn't just those who owned hotels, it was members of government who had indicated that the (indiscernible) $200 dollar duty-free or the amount that you could bring in the country hadn't changed in decades, in years and years and years. And I remember that members of the Congressional Black Caucus led by Congressman Charles Rangel, the Chairman, and now he wasn't the Chairman at that point. He went back Washington and in a period of months the amount had doubled from $200 to $400 dollars. It was the right thing to do but you saw the power of this Congress. As I said, we might come together in wonderful places, but it is about business. It is about increasing the tax. It is about the business between the Caribbean and the United States and increasing those business opportunities, helping to raise the standard of living for many; helping to build businesses and institutions, that's what it is about. [37:52:09.5]

Last year, Karl had me down here and - so I'm sorry, last year after our conference I worked. I must admit, Karl had me as a luncheon speaker, we were outside, it was about 85 degrees and I was in a suit and tie and it took me a couple of hours afterwards to dry out. But the one point that was made then was Karl looked at me, and those of you who know me to the
introduction as New York City’s Controller, I’m a member, a trustee of four of our five pension boards, chief investment advisor to all five. Our total assets in knowing, it might have shrunk a little, but our total assets are about $92 billion dollars right now. We are the fifth largest public pension fund in America. [applause at 0:33:02] At that point Karl looked at me and said, by the way how much of that is invested in the Caribbean basin? How much of that money is going to create, to build infrastructure, to help with tourism, healthcare and other things? And it was an impressive question and I went back and the answer was not much. Not much, so we started to go at that point down the path of looking at investment possibilities in the Caribbean basin, obviously a very promising area. [0:33:42.0]

To go back to quote just a couple of numbers as we would look at – now it has been a tumultuous year on Wall Street, at the same time, many of the investments, as we were termed that we have made in the emerging markets around the world, have outperformed developed markets. For instance, over the last year, five year performance of emerging market equities has been on par or better than the United States private equity, the United States venture capital, Western European private equity and U.S. public markets. Clearly it makes sense for institutional investors to begin to move further into those waters of emerging markets. [applause at 0:34:25.8]

So we went back and started to engage, particularly we looked at private equity, and the way we invest usually isn’t directly it is in private equity funds, so we began and our private equity consultant, we asked them to take an initial look at the Caribbean basin for how much initially should we be investing. And the number that they came back with was $80 million dollars. That would be our first step into investment in the Caribbean basin through a variety of investment vehicles. We started to move down that path and unless I am wrong, and if I am I will be short a few people or I will loose a few people in my investment side, but I believe that yesterday back in the office, back in front of one of our pension boards, we approved the first application of $30 million dollars to be invested in the Caribbean basin. [applause at 0:35:25.8] And, we are going to continue to move forward through other investment vehicles to invest and commit, or ready to commit and invest, the additional $50 million dollars and then we will take a step back and look for other possibilities. [0:35:46.8]

So I just wanted those to know that conversation, that investment of money, and as I pointed out it will range in everything from real estate to infrastructure, industries ranging from healthcare, financial services, energy, telecom, tourism and other areas, but that started last year at this conference. [applause at 0:36:09.8] So to those who say, “Jeez, you are going to St. Maarten? Have a wonderful time. I know you are going to spend a lot of time on the beach,” Karl and Faye make sure that we are working hard and that we are getting things done. [0:36:28.6]

And at this conference, while it is great to see friends and colleagues and see people I don’t get to see for a year, we are here working and we are here making sure that we increase and bring closer those ties that we have had in the past and that we are helping to grow business, that we are helping to improve quality of life both here in the Caribbean and back in the United States.

So again, it is a pleasure and let me say again to Karl and Faye, thank you so much for the leadership that you have shown. We look forward to your continued leadership for years to come. Thank you so much. [applause at 0:37:04.2]
REV. DR. SUZAN JOHNSON-COOK: Thank you for working hard while you are here and even back at home. Thank you. It is so good to be together. We do get to sit down and talk to each other. We try to get on each other's calendars in the City and we never do, but here we are able to make and transact business and it's wonderful.

As a point of personal privilege, it is not everyday that you have a city world leader that you know very well is a man of faith first of all, who reads the Holy Scripture at your wedding. It's not everyday that you go into (inaudible) flavor at a press conference that he has called and then he comes to the hospital to see the birth of your first child. It's not everyday that you have someone who is the blessing of that child who's named after him, it's not everyday that you have someone who hosts Whitehouse Fellows when the run, coming to New York City and gives them the key to New York. And, it's not everyday that we have the first African American Mayor of the City of New York in our midst. We are in the midst of history here. He was the 106th Mayor for the City, but he is our number one Mayor, the Honorable Mayor David Dinkins, Professor in the Practice of Public Affairs at Columbia University [applause at 0:38:16.8], and our wonderful, wonderful leader who's shoulders we stand on and for who we cheer for in honor this day. Let's here it for the Honorable David Dinkins. [0:38:29.4]

DAVID DINKINS: Well one thing is clear, if I had had the good fortune of having the Reverend introduce me more often I might have gotten re-elected. [laughter at 0:38:48.4] I am delighted to be here, but I want to clear one thing up from the start. I think it should be acknowledged that Fayc Rodney has been such a wonderful person and I do think that she permits his husband to come along with her the way he does [laughter at 0:39:10.1]. It's really nice. She even lets him think he's in charge every now and then. [laughter at 0:39:16.6] But they are a dynamic duo.

I am delighted to be here with you, truly am and each year, I guess I've been here ten out of - at least ten times I think - each year. I try to get myself on the committee that will go and do the make the decisions on where we are going to go next year so I can visit the islands but they have not yet let me come. But each year though, I insist that the tennis facilities be adequate, but I am not playing this time. But I want you to know my friends (inaudible) that they were out on the court this morning and I will get a report and it better be good. [laughter at 0:40:14.3]

I am delighted to be here with you, truly am and we are taking a role and those folks who are not here now, but are still having breakfast or are out on the bench, we've got their names. [laughter at 0:40:13.0] and we are going to chance them severely. But it really is a wonderful, wonderful opportunity to come together with friends. For me personally it gives me an opportunity to say thank you to as many of you who helped me become the 106th Mayor of New York. [0:40:51.2]

We say often that everybody stands on somebody's shoulders, and by that we mean Malcolm X and Martin Luther King and [inaudible] and Harriet Tubman and Rosa Parks and for me, for me personally, it also means Percy Ellis Sutton, [applause at 0:41:13.0] who ran in 1977 with such class and distinction that nobody laughed at me when I dared try in 1989. And we were successful and it is a broad leap. [0:41:33.6]
Certainly, I was simply privileged to be the stand bearer, but it was many of you here gathered, many of you who worked with me, worked with me in our administration like Laura and Hazel and so many of you, and I know that we wouldn’t have gotten anything done had it not been for the man called the Runble Genius by the New York Times, Bill Lynch. [0:42:02.3]

Bill used to say, good government is good politics. And you will note on his literature, he’s got a consulting firm now and a whole heap of clients and is doing very, very well, you will note that he uses that slogan and it is certainly true. If you do that which is right in the first instance, it will insure to your benefit politically as well. [0:42:34.5]

So we didn’t make judgments politically and then say well let’s see how that will play out, we did it the other way around. We did what we thought was right and then it insured to our political benefit and I am so proud of so many of the people who helped us succeed as they go forth now. And I can’t believe how young they were, some of them are still young even now and maybe it’s because I am so old that it looks that way. But it really is an example of what can happen when good people come together and work hard. [0:43:11.7]

And I know that President-elect Obama is going to do well because he is going to surround himself with bright, intelligent, trustworthy people on whom he can rely on. Because no executive, no executive, not even Ed Goldberg, can get it done alone. You’ve got to have help and you’ve got to have people to whom you can delegate and you have to have people who will make a trine. You can’t look at the thousands upon thousands of things that will come before you. They have to do a trine and bring to you those that they deem to be of significance for you to make a judgment, and then you will make a decision among them. [0:44:00.6]

I am confident that President-elect Obama will make the correct decision once he knows all the options, but he can’t know all of the options if they aren’t brought to him in the first instance. And the reason that I have such faith that he will be surrounded by good, bright people is the kind of campaign he ran. [Applause at 0:44:26.1] He ran a hell of a campaign so it sort of suggests that he will do as well as our President. That is not easily done, particularly in these difficult times, but when Alan Greenspan said, “By God I didn’t know it was this bad,” or, never (inaudible) how the hell he doesn’t know, how am I supposed to know.” So it is difficult for sure, but we are going to survive this. They say that that doesn’t kill you makes you stronger, so we are going to survive this. [0:45:01.6]

Ed Goldberg made reference to my custom, my habit that I get from African diplomats of instead of acknowledging everyone in the audience, which I would want to do and my staff would go absolutely crazy because I would acknowledge all of my friends and they - I did that once and my wife was standing right next to me and I acknowledged everybody in the house except her. Hell of a ride home [Laughter at 0:45:29.6]. But, the African diplomats have this custom, they say, “Unusual protocols observed.” So, President Jackson that means that you have been acknowledged. [Laughter at 0:45:45.2] See, that’s the way they do it because if you do otherwise, if I go on to describe how Hazel is my assistant and how - let me tell you, you don’t want Hazel against you ever, but by God if she is on your side, nothing can stop you; you will win. [Applause at 0:46:12.5] And we are all going to turn out as she leaves us in celebration of NAACP’s on it’s anniversary it is going to be a
monster, it's going to be a gas to be right in New York and I hope everyone here comes. It is really going to be something. [0:46:34.5]

I say to audiences, the media in particular has been asking me, "Well what's it like for President-elect Obama the first African American President of the United States?" And their theory is they are asking me because I was the first black Mayor and I try to explain that there is a world of difference. While I got to be the head of a city of 8 million plus people and that's terrific, and we have more separate ethnic identities than the United Nations has member nations, so we are truly a magnificent city, but Obama is not only the President of the United States, he is the leader of the free world. So you really can't make a comparison, you can't. Although, I am sure that he's got to feel wonderful because as he said his grandmother wasn't there at the very end, but fortunately he got to see her, imagine how the family feels, his wife, his children, so I do understand that part and it is a hell of an accomplishment, he has done it, but even he could not have done it without you. And he knows that and that is the beauty of it. [0:48:02.8]

I recognize that those of us who have been privileged to serve, it is a privilege and you have to see it that way and recognize it that way and do the best that you can under the circumstances, but never, ever believe that you got there alone, because that's just not true. I am almost amused, I say almost because I feel a little sorry for the distinguished Governor of Alaska, and it is coming out now how they are swallowing in house. I don't know whether you have seen the current press and how they talk about the poor lady and she is trying to defend herself and I almost, underline almost, feel sorry for her, but, she made it up there. [0:48:54.1]

So to my friend, Suzan, the Reverend Doctor Suzan Johnson-Cook, you all - many in this audience knows that she took a congregation of about 11 or 12 people, meeting at lunchtime down near City Hall, and built it into a congregation in excess of 1,000. She did that. [applause at 0:49:25.9] She is a very, very special, gifted woman. And I say that she is here with us at this 13th annual meeting, notwithstanding the loss of her dear brother, my friend, our friend, Charles, very recently. A young man who has gone to his reward and she is with us nonetheless and we appreciate it. [0:49:59.8]

Charles was quite a guy. He didn't like to be called Charlie incidentally; he was Charles. It's sort of like if somebody says they know Joe Hines who's name is Charles J. Hines and they'll say, "Oh, I know Charlie" and you know that they don't know him worth a damn because he is Joe Hines. [0:50:24.2]

So, to be here in the company of Carolyn Kilpatrick, the Representative in the Congress who takes care of our brother Charlie Rangel; that is special. That is special. You know one year we had something like 35 members of the Congressional Black Caucus here, I think it was 35, it was over 30 certainly, and that got the attention of a whole lot of people. It got the attention I'm confident of some sponsors who said well next year maybe we ought to up ours a bit and they did and that's the genius of Faye that she let's Karl come along with her here. [laughter at 0:51:15.3]

It's true that international black heads of states have prevailed in nations with majority black populations, but never before, never, ever in the history of the United States has the Chief of State, the Commander in Chief been other than a white male. And many of us grew up in the days of Jim Crow and dozens of African Americans were still being lynched; 24 in 1933 when I was six years
old. They were still lynching folks and as a matter of fact I can recall some years later as we started to make (we meaning blacks) started to make some progress, we were told things like, “You Negroes (that’s what they called us then) you Negroes shouldn’t be so pushy, they only lynched five last year.” We were supposed to be grateful that so few of us had died. [0:52:15.2]

Then there came World War II; segregation, as we went off to fight and die for our country. And when I got out of the Marine Corps in 1945-1946 and none of my classmates had shopped in their bodies, and we could not go to the movies downtown in Washington, D.C., the Nation’s Capital, couldn’t shop on F Street if you had to try something on, and this is after the war; the war that ended all wars. So we have come a long way since these days, but things are not perfect even now because I maintain that we live in a racist society that is the legacy of slavery, but that does not mean that we have not made great progress. Imagine a black man, President of the United States of America. [applause at 0:53:20.2]

I can remember when there were certain jobs you couldn’t even apply for, couldn’t even think about it. We got the right to vote by the 15th Amendment in 1870, but we weren’t able to exercise that right to vote until 1965 when the Voting Rights Act was passed. As a matter of fact, if you think back on some of the gams made during the Civil Rights Days by Dr. King and so many really heroic women and men. And I have to tell you I ain’t to sure that I could have followed John Lewis getting beaten down into the ground and he kept coming back, I’m not sure that I could have done that. [0:56:18.7]

I’m not sure that I could have done what the Tuskegee Airmen did. You know about the Tuskegee Airmen, everybody does; they said blacks weren’t intelligent enough to learn to fly. And then B.O. Davis who in four years at West Point nobody ever spoke to him, they didn’t talk to him, and he came through all of that and won the fight for black men to learn to fly and then they said, well you can’t go into combat because you will be cowards and turn in the face of the enemy. And them they won that battle and they did it so well that people like Roscoe Brown and Lee Archer and Percy Sutton and so many others, they fly in cover for bombers and never lost a single bomber, not one. [applause 0:55:19.1] So much so that the white bomber pilots would ask for them and I can remember, while I wasn’t personally there, the black Marines who were trained in Camp Lejeune in North Carolina, white troops went to Paris Island in South Carolina and they thought that the black Marines were somehow not quite as good as the white Marines, but when the black Marines hit the beach carrying ammo for the guys that were pinned down and running out of bullets, they loved them to death. It’s funny what need will do; it’s funny. [0:56:16.1]

This election has at last put to rest, I think, any doubt that Americans as a whole oppose the failed economic and social policies of the Bush administration, with its record deficits and recession. Lilly Thompson knows about that. Paul used to properly regulate financial industries that led to the loss of retirement pensions and the sub-prime mortgage crisis, outsourcing of America jobs, increased unemployment and refusal to work toward a living wage for job offers, failure to support programs that curtail practices that harm the environment and damage or destroy natural resources, failure to end the war in Iraq and approve any meaningful plan to withdraw troops. [0:57:12.3]

Speaking of Iraq, don’t it just get you right here when the Bush people lied to Colin Powell and sent him to the United Nations to tell those lies, and didn’t it make you feel good when he came out
for Obama recently; I mean you know [applause at 0:57:38.5] by God, and he is a guy, you know, he is one of our heroes. He truly is, he truly is. [0:57:52.2]

The American people have spoken across the party lines, social classes and racial divide in support of programs to provide affordable and accessible healthcare, to stimulate economic growth and provide a living wage for American workers, to transform energy consumption and reduce American dependence on foreign oil to improve schools by ending No Child Left Behind, and end the war in Iraq and bring the troops home. Some of you will recall that when the troops came home after Vietnam, our country treated them terribly. They spit at them. They didn't ask to go, but they were treated awful. Korea was a little different. And as Charlie Rangel says, he hasn't seen a bad day since. Charlie was pinned down in a foxhole and came out of there with a Purple Heart and Bronze Star and he hasn't seen a bad day since. [0:58:57.3]

But, even though Americans, whether Democrats, Republicans or Independents, have responded overwhelmingly in support of measure that the new President may be compromised I say, at the outset by the actions of the outgoing administration. Keep in mind that he doesn't take office until January 20th and I'm counting on our friends in the Congress to do whatever they can to see to it that he doesn't start off in a whole, because this is what can happen. It is possible; I hope it doesn't happen. [0:59:41.9]

Earlier this year in February of 2008 I participated in a panel at a meeting of the Independent Newspapers International Advisory Board in Cape Town, South Africa on the topic “End of the Bush Era in the United States.” And our discussion, neither prophetic or profound, merely reflected the ground swell for change that has this week resulted in one of the most historic moments in American history; the landslide election of the first African American to the Presidency of the United States of America. [1:00:02.7]

The majority of the American public, irrespective of political party affiliation welcomes the end of the Bush administration, by whatever measure we choose to evaluate its impact, domestic and global, this has been a failed presidency that has brought the United States to the brink of disaster and some say beyond the brink. We could recite the long list of offenses perpetrated or orchestrated by that administration that have passed in the name of foreign policy and global economy. [1:00:57.0]

While the United States has now emerged from unprecedented two year campaigns, none like the New York Times editorial staff have cautioned that we should pay close attention to the efforts underway to perpetuate the policies of the past seven years with Bush. And at the risk of putting a damper on the celebration of Tuesday's victory, I do feel compelled to call attention to a few of the concerns that lie immediately ahead. [1:01:31.7]

True the Congress has a Democratic majority and the political capital of the sitting administration has been all but spent by the wars in Iraq and Afghanistan, and the worst economy since the Great Depression, but even with the lowest approval rating of any president in the history of our country, he has pressed on to do everything possible within his remaining days to hamstring the new president, who will take office with the greatest mandate from the people in a century. [1:02:05.6]
He has abused the political process more than any of his predecessors, undermining the power of Congress through the use of Signing Statements. Over the last seven years he has issued hundreds of these documents, devices showing us that he had no intention of obeying laws, that he has claimed impinged on the constitutional powers of the Chief Executive. Examples of such Signing Statements are those that authorize domestic surveillance without warrants, torture of prisoners in violation of the Geneva Convention, and firing U.S. Attorneys for political reasons. [1:02:50.3]

Others include a host of executive actions designed to impede congressional programs to expand health insurance and prevent further pollution of the environment. The disastrous Bush Lame Duck Budget proposal announced at his last State of the Union Address contained provisions for permanent tax cuts for the wealthy and the highest level of military spending since World War II and reductions in spending for medical research, environmental protection and education. [1:03:26.9]

President Obama will have to contend with this and a series of other eleventh hour measures. We are confident that Congress will reach across the isle to combat the resultant stultification from President Obama’s ability and move forward our country. We have along way to go in repairing the damage done over the past seven years. And although we deserve to relish the moment of victory, we do understand that we have more battles to fight and miles to go before we sleep. [1:04:00.1]

We should congratulate those other political leaders, some of whom are with us here today in St. Maarten, for their election and reelection victories as well. [applause at 1:04:11.2] And as one of these, the Dean of the New York City Delegation of Democrats, my brother Charlie Rangel. And this is a quote from my brother, Charlie says, "The world we look at is a world of many colors, many cultures, many faiths and what we as Americans have to offer is our experience in creating a diverse society as we show the world all of the diversity that is the strength of America. We reflect our values and present an example to the world. With our nation growing international involvement there could be no better time to attract the best and most diverse (inaudible) to represent the American people in every corner of the globe." So says Charlie Rangel. [1:05:05.3]

When we break for lunch we will hear the distinguished Governor of my home state of New York, the Honorable David A. Paterson. He will talk about the importance of building upon the partnerships necessary to translate the watershed victory of democracy in the United States into lasting change. I can’t resist remind us that the governor’s father, Basil Paterson, once won 61 out of 62 counties in New York State in a Democratic Primary for Lieutenant Governor. And then he lost. [applause] He was a former United States Secretary of Labor, former United States Supreme Court Justice, former United States United Nations Ambassador, the only black candidate you ever saw. So Basil did not win, but he would have become the first black Lieutenant Governor of New York State and eyes on the first black governor. So imagine, as I sit in the front row at the state committee meeting and Basil placed David’s name in nomination for Lieutenant Governor. I had tears in my eyes. It had come full circle and now that same David is Governor of the State of New York and you will hear from him later. [applause at 1:06:41.3]

Later this afternoon we will meet to share our thoughts and plans for sharing working solutions to education. There are challenges is business and political leaders will be to craft strategies for keeping the doors of the international education open to our future leaders. The world will be a
dimmer place if we let the lamp of knowledge go out for a generation of our young people. It is within our power to turn up the flame and keep it burning bright, and in the words of President-elect Barack Obama, "Yes we can." [applause at 1:07:24.8]

REV. DR. SUZAN JOHNSON-COOK: Thank you Mr. Mayor, and thank you for looking so wonderful. He’s dapper, Amen! Doesn’t he look good? [laughter and applause at 1:07:42.4] And Barack Obama stands on your shoulders because you took the blows that shows what a man of faith could do and we thank you for representing us well. [1:07:52.3]

We also are joined by many a (inaudible) joints throughout this conference by many elected officials and some are here this morning, elected officials from the State of New York. We will hear later from the Honorable David Paterson, you heard from our City Controller Honorable William C. Thompson, Jr., Honorable Adolfo Carrion, Jr., President of the Borough of the Bronx; Honorable Nick Perry the Assemblyman for New York State, The Honorable Ruth Haddles-Thompson, State Senator New York State, the Honorable Keith Wright in with us this morning, Assemblyman for the New York State the Honorable Inez Dickens, Council Whip, Member of the New York City Council, and Honorable Dr. Kendall Stewart, Member of the New York City Council. Can we applaud for all of the elected officials from the State of New York? [applause at 1:08:34.3]

And then members of Congress who will be joining us throughout, some of whom you heard last night and today, the Honorable Donald Payne, the Chair of the Subcommittee on Western Hemisphere, the Honorable Bernie Thompson, Chair of Homeland Security, Honorable Donna Christensen, the Honorable Chair of the Subcommittee on National Resources, Honorable Sheila Jackson Lee and now we are also going to hear from one of our Presidents of the Congressional Black Caucus, the Honorable Carolyn Cheeks Kilpatrick. We are going to the federal level y’all [applause at 1:09:09.6] who is our President, Made President and will be working with Mr. President would you please come and let us receive her this morning for what a wonderful job you have done and you have served with distinction as well and we celebrate and salute you this morning. Can we applaud the other members of the Congress who are with us? [applause at 1:09:29.1]

REP. CAROLYN CHEEKS KILPATRICK: Giving honor to God who is the head of my life, present protocol being established [laughter at 1:09:46.3], but I’ve got to say a couple even given that, To Faye and Karl, it’s really thoroughly been said but thank you from the bottom of all of our hearts. We could not do this without you. Thank you very, very much. [applause at 1:10:00.4] We could (inaudible) every week in our Washington offices, but that’s how we keep up with the Caribbean if not for the newspaper, there would be no association that we could actually see and know what is going on and how we (inaudible) so thank you very much from the bottom of our hearts. Thank you very much. [applause at 1:10:18.6] Commissioner Wesson-Williams as well as all the commissioners over here. St. Maarten, one more time, thank you for hosting us one more time, we love you, thank you very much. [1:10:29.4]

Our key ingredients for the Congressional Black Caucus where I Chair 43 members, we come from 21 states, we present over 40 million Americans; [applause at 1:10:40.8] five full Committee Chairs, 17 Subcommittee Chairs and others like the Majority Whip and Jim Clyburne from South
Carolina and others who help to control the Congress. We have the first African doctor in the
house, a member of our Caucus who chairs our health branch and very instrumental in us being
here, why don’t you welcome my sister, Dr. Congresswoman Donna Christensen. [applause
1:11:11.7] Thank you, we love you.

It was mentioned earlier that, and I’m going to say who else is here, you heard from Dr. Payne and
I know if he is here in this room you will hear from him again. you did last night, who chairs our
Western Hemisphere Committee, Bennie Thompson who is here and I think he came through last
night, he chairs our Homeland Security Committee also will be here. Sheila Jackson Lee from
Houston, Texas and I know many of you know her, she is on route and will be here just shortly.
Our number one Congresswoman, second only to John Conyers in seniority, from the great state of
New York, Chairman of the House Ways and Means Committee, our big brother Charlie Rangel
will be here this afternoon. [applause at 1:11:55.3]

And what you probably don’t know is the federal budget is $3 trillion dollars. Charlie’s committee
handles $2 trillion of that for Medicare, Medicaid, for veterans programs; his committee is the
committee that produces the revenue, $2 trillion of it, giving it out in what we call entitlements to
those programs. I served on Appropriations where the committee spends the money, and I like that
too. We spend a million and Charlie generates it and gives it all by formula to the entire committee
and our committee handles the appropriations in sending it out. [1:12:33.0]

Together we make up the Congressional Black Caucus and it was said earlier, many more members
will be coming and will have come over the years, but I just wanted to say a point of personal
privilege, this last six months, the last two months and the last two weeks, members of the
Congressional Black Caucus have been concerning America for our now President, Senator
Barack Obama. [applause at 1:13:00.1] Even as we had our own elections [applause 1:13:02.4]
Tuesday we were all on the ballot as well but (inaudible) just thinking as it relates to it’s is major,
but most of us went to many states all over this country. [1:13:12.4]

You see 18 of our members represent less than 50% of the African Americans; three of our
members represent less than 15% African Americans, the most that any of us represent is a 62%
African American so we represent all of America, Asians, Africans, Latinos, Europeans, Native
Americans, you name it and we are called the conscience of the Congress and we really are that you
know. [1:13:38.5]

God built us from a certain kind of way and we got some of this stuff in us that you do, you cross
etnic lines and it makes us stand up for righteousness, speak up on injustices and when we see
something wrong you have to hear it because, of course, we are the conscience of the Congress. So
in the spirit of (inaudible) is that Congresswoman Christensen talks about healthcare it’s real. They
have more because we have less. [1:14:02.2]

We hope and we know that with President Obama we had some difficult times in the Mayor
laid them out well. And to the sponsors by the way, all of you, we couldn’t do this. be with you
help last if you weren’t here with us we say thank you very much, you are so important. To all
of the sponsors, thank you very much. [applause at 1:14:23.9]
So as we move to these next four years, two months, 32 days - talk about the short period between November 5th and August 20th, [sic] President Bush is still the President. Our Constitution says that if there is unrest or malice or whatever, the sitting President can hold off and not let happen the January 20th date. There isn’t many people that know about that, so we don’t want any - we were kind of scared about November 4th when we won. We wanted everybody to be prayerful, be (inseparable) and have fun and all that, don’t burn [1:15:00.5]

END PART 2
TRANSCRIPT OF AUDIO FILE:

11-7AM Session - Last 20 Min

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BEGIN PART 3:

REV. DR. SUZAN JOHNSON COOK: Thank you, Mr. Mayer. Thank you for looking so wonderful. He's dapper. Amen. Doesn't he look good? (clapping). Barwick stands on your shoulders because you took the blows and showed him a man of faith who could do and we thank you for representing us well.

We also are joined by many and will be joined throughout this conference by many elected officials. Some are here this morning; elected officials from the State of New York. You will hear later from the Honorable David Patterson. You've heard from our city controller, William C. Thompson, Jr., Honorable Adolpho Carrion, Jr., President of the Boroughs of the Bronx, Honorable Nick Perry, the assemblyman from New York State, the Honorable Ruth Haskell Mitchell, State Senator of New York State, the Honorable Keith Wright is with us this morning; assemblyman from New York State, the Honorable Peter Dickens, council whip member of the New York City Council, and Honorable Dr. Kendall Staurt, member of the New York City Council. Can we applaud for all of our elected officials of the State of New York? (clapping).

Members of Congress who will be joining us throughout. Some of whom you have heard from this last night and today, the Honorable Donald Payne, Chair of Subcommittee on Western Hemisphere, the Honorable Bennie Thompson, Chair of Homeland Security, Honorable Donna Christensen, the Honorable Chair of Subcommittee on National Resources, Honorable Sheila Jackson-Lee, and now we hope to also hear from one of our presidents of the Congressional Black Caucus, the Honorable Carolyn Cheeks Kilpatrick. We're going to the federal level you all; who is our (inaudible) president. We're only working with Mr. President. Will you please come and let us receive her this morning for what a wonderful job you have done and you have served with distinction as well, and we celebrate and salute you this morning. Can we applaud the other members of Congress (inaudible) (clapping).

REP. CAROLYN CHEEKS KILPATRICK: Giving honor to God who's the head of my life, present protocol being established, but I've got to say in comfort given that, To Fay and Karl, really (inaudible) really from the bottom of all of our hearts, I cannot be this without you. Thank
you very much. We could (insulted) ever week in our Washington offices and that’s how we keep up with the Caribbean. If not for the newspaper, there would be no association that we could actually see and know what’s going on and how we plug in. So thank you very much from the bottom of my heart. Thank you very much.

Commissioner Watson-Williams, as well as all commissioner’s who are here, St. Maarten, one more time. Thanks for hosting us. We love you. Thank you very much.

I bring you greetings from the Congressional Black Caucus, where I chair 45 members. We come from 21 states. We represent over 40 million Americans, 5 full time members, 17 subcommittee chairs, and others like the majority whip and Jim Clyburn from South Carolina, and others who helped to control the Congress. We have the first African doctor in the house, a member of our caucus, who chairs our health panel and very instrumental in being here. As being here, won’t you welcome my sister back, your Congresswoman Donna Shalala? Thank you, Donna. We love you.

It was mentioned earlier that, I’m going to say, who else is here, you heard from Donald Payne, and I know if he’s here in this room, you will hear from him again. You did last night. He chairs our Western Hemisphere Committee. Dennis Thompson, who’s here, and I think he came through last night, he chairs our Homeland Security Committee. Also will be here, Sheila Jackson-Lee from Houston, Texas. I know many of you know her. On route, she will be here just shortly. Our number two congresswoman, second only to John Conyers in seniority, from the great State of New York, Chairperson of the House Ways and Means Committee, our big brother, Charlie Rangel, will be here this afternoon.

What you probably don’t know is that the federal budget is $3 trillion dollars. Charlie’s committee handles $2 trillion of that for Medicare, Medicaid, for veteran’s programs. His committee is the committee that produces the revenue, $2 trillion of that given out in what we call, “entitlements” to those programs. I serve on appropriations, where the committee spends the money, I like that too. We spend a million. Charlie generates it and gives it out by formula to the entitlements. Our committee handles the appropriations and sends them out. Together we make up the Congressional Black Caucus.

As it was said earlier, many more members will be coming and have come over the years, but I just wanted to say, a point of personal privilege. This last 6 months, the last 2 months, and the last 2 weeks, Members of the Congressional Black Caucus have been crisis-crossing America for our new president, Senator Barack Obama. Even as we had our own election, Tuesday, August 4th, we were all on the ballot as well, but ours wasn’t as significant as relates to us as major, but most of us went to many states all over this county. You see, 16 of our members represent less than 50% African-American. Three of our members represent less than 1% African-American. The most that any of us represent is 6% African-American. So we represent all of America, Asians, Africans, Latinos, Europeans, Native Americans. You name it.

We’re called the Community of the Congress and we really are that. You know, God built us in a certain kind of way. We got some of this stuff in us, as you do with you. Across ethnic lines, it makes us stand up for righteousness, speak up on injustices, and when we see something wrong.
you have to hear it because, of course, we’re the conscience of the Congress. So the disparities that Donna, Congresswoman Cristensen, talks about in health care, it’s real. They have more because we have less. We hope and we know that with President Obama, yes we have some difficult times and the Mayor laid them out well. And to the sponsors by the way, all of you all. We couldn’t do this, be with you, help Karl if you weren’t here with us. We say, “thank you very much. You are so important”. All the sponsors. Thank you very much.

So as we move through these next 4 years, 2 months, 32 days, talk about the short period between November 5th and August 20th. President Bush is still the president. Our constitution says that if there is war or national or whatever, the sitting president can hold off and not let happen the 20th day. There are few people that know about that. So we don’t want any, we were kind of scared about November 4th when we won. We wanted everybody to do prayer. There will be a tone-in and have fun, and all that. Don’t burn nothing down. Don’t burn up a car and all that because they’re waiting. Some people are waiting. Some people are very angry. We are euphoric, God is euphoric and people across ethnic lines, you saw them. The multi-cultural facets of America happy because it was a perfect storm. Financial markets crashing. People losing jobs. Health care unaffordable. Our schools in shambles. Big bad America and we still are; it’s just this 8 years we have a man in the White House who knew not Joseph. In his leadership of our country, he not only decimated America, but caused havoc around the world. I know you know that.

So we’ve got a lot of building to do. What Karl and Fey have done is to energize each of us so we take our rightful places. All of you and all of us together. I’m going to bring into this room 2 of my sisters who we lost over the last year. Congresswoman Stephanie Stubbs-Jones, Cleveland, Ohio. will be right here. Right over here, smiling and said “Let’s do this”. I want you to give a shout-out for Stephanie. She’s up in here right now. Congresswoman Janita Miller-McDonald from Los Angeles, also with the ancestors are up in here right now. Both dear people I might add. Congresswoman Stephanie Stubbs-Jones (sp) of our Ethics Committee and Congresswoman Janita (immobile) McDonald of our House Administration Committee. Finally, all during this tenure, 2 years is what Congress is, this is the 110th Congress. So many historical things have happened that I mentioned to you already, including electing our first African-American president. Then finally Julia Carson from Indianapolis, Indiana, also (immobile) has been to this conference many many times.

So my brothers and sisters across racial, ethnic gender, geographic, biological, (immobile) we have much work to do, but it can be done. Because I believe there is a higher power who’s directing all of this. We just have to know it and believe it, and do it, and be centered in a higher power.

So as members of the Congressional Black Caucus, as we go back next week to address the financial crisis. You all have been hearing about this $700 billion, every time I say it, we handle a trillion, our committee. $700 billion is what we just gave out or given out as we speak. The good thing about that, they were trying to give it all out. $300 billion of it is gone, but the good news, the new president, anything they put in force, he can pull it back. So we have an opportunity to do some real comprehensive stuff.

The housing market? No more foreclosures. Those same people who got the $700 billion, they were the ones who caused 80%, 85% of the foreclosing. Do you all know that? Predatory lending.
Loss of jobs. Shifting our jobs overseas. You see, when the financial people do their thing,

(inaudible) a billion here and there. It's paper. It's two clicks of the mouse. They were selling bad
paper then and they were making big money. My sister, Susan. Let's give Susan a hand. Essence
Magazine. Love you girl. (inaudible). We have to be smarter and better as we go forward. Senator
Barack Obama, and you may have heard about his prudent campaign. Most of us in this room a 1-
1/2 or 2 years, we thought it couldn't be done, because we lived with the same people who had to do
it. But the perfect storm. The perfect storm caused by humans. Greedy humans in

many cases.

I do a lot of work in the Middle East; Egypt, as well as Lebanon. I do (inaudible) and they're great
people, but this president castigated Arabs. In Michigan, where I come from, and John Conyers, we
have the largest population of Arabs outside of the Middle East. They've been in our community
for decades. They go to our schools. Our children know them. They help and help to build the
community. Yes, there are a few bad apples who blew up some (inaudible). God took care of them.
They're going to be taking care of. But just like we don't want everybody to measure African-
American by a few who do bad things, there are good things in all people. I believe that as
President Obama comes into fruition, a member of the Congressional Black Caucus, his job, and he
really does believe this, is to bring the races of God's people together. Whether you know God as
God, or Allah, or Jehovah, or what have you, that if you really believed in a higher power, let's get
busy and rebuild the world.

So, my brothers and sisters, we got a lot of work to do and you do as we go back to New York.
Keep the (inaudible) operating. Keep your will strong and knowing that, as president takes his oath
and pray that nothing happens between November 3rd and January 20th. He can call martial law.
He can go around the country, and lock up heathens and Christians, which isn't going to happen.
Lock up anybody who might be subversive or such. Create an environment so that January 20th
may not ever happen. That's the nightmare. Now snap back. Wake up. We won. It's going to be all
right. Let's build a new America again. Let's make sure that our children can have adequate
education, because it's no longer Michigan against Indiana or Ohio, Michigan against China. It's US
against the world and we can build those partnerships the way we do with Faye and Karl, and
all of us who have been working for all of these years.

Thirteen is a significant number in the Bible. Thirteen is a number that renews us, gets us ready for
the next stage of our development. So as we meet here in beautiful St. Maarten, let us rededicate
ourselves to a higher power to each other, to knowing that we can do anything but fail. God bless
you. (clapping).

REV. DR. SUZAN JOHNSON COOK: Now that's a sister who's got it going on. Thank you so, so
much, Congresswoman, Madame President of the Congressional Black Caucus. We can see why.
Amen. We are looking forward to great things ahead and you have us as the wind brighten your
wings. All of you Congressional Black Caucus members, we are with you so much. Let the church
say, "Amen".

We just want to share with you before we present our next speaker. This evening, our host country
is going to present us with a fantastic affair. It's going to be offsite and we hope you won't miss it.
Transportation is going to be coordinated and we are going to ask that you meet in the lobby at 6:15.
tonight. The transportation will be coordinated by our local government. It's a casual event. It's a beach site affair tonight and we're asking all conference attendees to gather at 6:15 sharp in the lobby for departure. So that's our slight affair tonight and we will repeat that announcement throughout the day. If you will just please make note of that as we go forward.

We've heard from the city level. We have heard from the federal government. You know, we are so excited about our first African-American president and many of us also wanted a woman in and it was not a woman's time. It was time for Barack Obama, but in this country, it is a woman's time. As the commissioner who is the leader of government for St. Maarten. Come on somebody. It is Commissioner Sarah Westcot-Williams, our host. She has been gracious. She is elegant She is eloquent and we are excited about being received by her today. Commissioner Sarah Westcot-Williams. (clapping)

COMMISSIONER SARAH WESTCOT-WILLIAMS: Thank you reverends and a very good morning. There's another way to deal with the selfish (sp) protocol and that is by saying, "Welcome friends to St. Maarten". I can say this notwithstanding the many luminaries in our midst because it is truly a welcome to old friends and new acquaintances.

This conference, at this time, on this island, would not have been possible if it was not for the resoluteness and conviction of Mr. and Mrs. Rodney. It was 6 years ago that many of you were here on St. Maarten for the conference as well. It is with a lot of confidence that last year, I flew out the idea of why not again St. Maarten, has been at that time five years ago. This year, it is six years ago. It was only after throwing it up as we sat down to plan, I realized that this conference would have been held two days following the most important election in modern times of the United States of America. As we, Commissioner Stelven (sp) and myself visited Karl and Fry in New York. I said to him, "Karl, as much as I want this conference on St. Maarten, I don't know if the timing is right." He said without being presumptuous about the outcome of the election, he said, "Oh no. I believe the timing is right". And with a gleam in his eyes, I suspected that he was counting on a victory and a big one, and felt that St. Maarten would be a place where we could celebrate that victory.

This small island of ours, and I'm aware of the clock just in case I was to get any sign from the back, but this small island of ours, only 37 square miles and that is both sides of the island, tonight you probably would understand. You will get to know how we share the island, but I can tell you that St. Maarten is the smallest side of the two. Nevertheless, we accommodate close to two million tourists annually on this island. Approximately .13 million visit our island by cruise and the others come here to stay over with us, relax and enjoy our island. And yes it is an opportunity and truly a region in transition.

Throughout this region, every island, every island nation, every country, is going through some sort of transition. For St. Maarten itself, we are going through a major constitutional transition. Moving from what others term as called an island territory, a remain of a colonial system, to that of country within the kingdom of the Netherlands. The French side, just last year, moved from a French municipality to what is called in their terms, "a collectivity". So yes, this region is truly in transition and change is all around us. This side is so important for the relationships between the
United States of America and the Caribbean region. I am again so thrilled to hear so many of you speak of kinship, relationships, and ancestry as you recognize this region for what it is.

Term water (sp)? Yes, Maybe, but definitely a part of the United States of America. However you take it or twist it. The Diaspora of the West Indies and the United States of America. It's big. It is great and we need to continue to recognize that forging those relationships strengthens it year after year through this conference call is extremely important. As if it wasn't enough to realize that we were going to start a conference two days after such an important election, just barely three weeks ago, St. Maarten was brushed by Hurricane Omar, a category 3 hurricane. So if you were around and you noticed that the scenery is not exactly what you expected of it, if you feel a little in the void as you go from place to place, recognize that that is what had happened. But Karl decided the conference was going to go on and the conference will go on, Karl, right here in St. Maarten.

So tonight it is my pleasure to host you at another side of the island because you are here two days after the election, two days after a historic election, and yes, notwithstanding the turmoil and the challenges, President Barack Obama is going to face, the party too will continue and the party on St. Maarten will continue this evening on the other side of the island hosted by the Government of St. Maarten. I encourage you and those who are part of the talent workshop this afternoon, to do it well, right, and try to get out as soon as possible so that we can move from here in a timely fashion and the police escort will only be something to show you how proud we are of having all of you here. But we will get to the other side of the island nicely, on time. A region in transition. Thank you for being here at this time in your history and in our history.

I welcome all of you and it is wonderful to be able to open this conference in a time like this because it is for such a time that you are here and we are here, and it is such a time that President Barack Obama was chosen to lead the United States of America and, with that leadership, to be the leader of the free world. If, just if, approximately 40,000 more persons voted could have given him even more votes, he would have had those from right here on St. Maarten, the friendly island of the early (inanimate). So today, we are rejoicing with you and we too are hopeful that the change that is coming will be a good one for all of us. We just hope that some of that invigoration and renewed energy that we will get from this conference will serve you well, when you go back and will serve as well as we continue to build our island nations from strength to strength and with God, all things are possible. Have we not seen that on November 4, 2008. What a wonderful way to celebrate and, Karl, what a wonderful thing to happen (inanimate) St. Maarten and deciding the conference welcomes the 13th Annual Multi-National Caribbean Business Conference. Thank you. Welcome. Enjoy it and may God continue to bless you richly. Thank you.

The question was how casual can you be tonight? You be as casual as you feel comfortable on an island that is your host. So men, absolutely no jacket and ties. I would not recommend that, but be as casual as you've been comfortable. Thank you.

REV. DR. SUZAN JOHNSON COOK: All right. This is where we break. Hold on. We have (inanimate) ceremony. If you will just wait for us please. We're going to invite all of the sponsors and the elected officials to please join the fetes as our host today. Here up front for our ribbon cutting ceremony. All of our sponsors, all of our elected officials that are present, please come and
join us up front. Those who are our speakers this morning, please right here in the front of the stage, and we will be lead. All rise. (singing)

END TRANSCRIPT
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OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Memorandum of Interview

In Re: Representative of Citi
Review #: 09-2567; 09-4403; 09-3698; 09-6333; 09-2222
Date: March 17, 2009
Location: AkinGump NYC - 399 Park Ave, New York, NY
Time: approximately 2:00 to 4:00 p.m.
Participants: Leo Wise
              Omar Ashmawy

Summary: The Representative of Citi was the Citi employee who managed their donation to the Thirteenth Annual Multinational Business Conference. The OCE requested an interview with the Representative of Citi and he consented. The Representative of Citi made the following statements in response to questioning:

1. The Representative of Citi was given an 18 U.S.C. § 1001 warning and consented to an interview. The Representative of Citi signed a written acknowledgement of the warning (attached).

2. The Representative of Citi was laid off from Citibank on December 15, 2008. At the time he was laid off he was Community Relations Officer for Brooklyn and Staten Island

3. The Representative of Citi joined Citi in December 2003. He had previously worked for Chase in a similar capacity. Chase sponsored previous Caribbean Multinational Business Conferences. The Representative of Citi attended the conference when he was at Chase. Chase was the first financial institution to act as a sponsor at the conference.

4. When he came to Citi, he was told to “lead the charge” in terms of Citi’s participation in the conference. His superiors made the decision that Citi should participate.
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5. The Representative of Citi's direct supervisor was Ellen Aulden, New York State Director; she reported to Kathy Ebanks, Regional Director. Eric Eve, Senior Vice President for Community Relations headed the Representative of Citi’s department. Mr. Eve made the decision to support the conference and decided on the dollar amount. The Representative of Citi was in charge of managing Citi’s participation.

6. Citi donated $75,000 to support the conference. Citi was the only “senior” sponsor. The money was specifically for the conference. Citi did not put any specific restrictions on how the money could be used to support the conference. The check came from Citi’s sponsorship budget and was either made out to the Carib News or the Carib News Foundation.

7. In previous years the amount Citi donated was less. In 2007 it was $50,000.

8. Karl Rodney chose the location of the conference. Governments in the region made bids to host the conference.

9. The only person from the conference that the Representative of Citi dealt with was Rodney. The Representative of Citi met with Rodney on 5 occasions between May and November 2008. These meetings concerned the program at the conference and Citi’s participation in it. These meetings were not about the amount of Citi’s sponsorship or to negotiate that in any way. The Representative of Citi described this interaction as a “dialogue” with Rodney. Rodney was receptive to suggestions about the program.

10. At these meetings the Representative of Citi would tell Rodney how he would like to “position” Citi at the conference. Citi participated in the luncheon, with Eve as a keynote speaker, and in workshops that fit their business. The lunch topic was set by Rodney. The Representative of Citi then tried to “position” Eve in a complimentary way. The Representative of Citi recalls suggesting to Rodney that Citi could do a workshop on financial education.

11. Rodney did not present a written agenda for the conference before any of their 5 meetings. The first time the Representative of Citi saw a written agenda was a week or a week and a half before the conference began in early November. The Representative of Citi recalls seeing a draft agenda. He was shown the draft agenda submitted to the Committee on Standards of Official Conduct (attached as Exhibit B) and said he saw some version of the draft agenda but not this specific one. He did recall seeing the panel entitled, “Creative Financial Solutions” on page 9 of Exhibit B. He said when he saw
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that panel he thought he could participate in the panel and talk about foreclosures. He
"vetted" that topic internally at Citi and then proposed it to Rodney and Rodney agreed.

12. The Representative of Citi attended the dinner on Thursday night. He does not recall
Congressman Payne speaking.

13. The Representative of Citi participated in the ribbon cutting with members of Congress,
host government officials and major sponsors on the Friday morning of the conference.
The Representative of Citi got sick on Friday and missed the evening event.

14. Eve did not have a sit-down meeting with the members of Congress in attendance to the
Representative of Citi’s knowledge.

15. The Representative of Citi did not have more than “casual” conversations with the
Members of Congress who attended. He saw all members that attended more than once.
He saw most of them on Friday and had seen everyone by Saturday.
   a. The Representative of Citi recalled Congressman Rangel was there. The
      Representative of Citi thought he first saw him on Friday and saw him on
      Saturday. The Representative of Citi thought he saw him at different events.
   b. The Representative of Citi saw Congressman Payne on more than one occasion.
   c. The Representative of Citi saw Representative Kilpatrick early on Friday. He
does not recall her speaking.
   d. The Representative of Citi saw Representative Thomson on Thursday; he saw him
on more than one occasion.

16. 300 to 350 people typically attended the event. It was open to anyone.

17. The conference was billed as the Carib News conference. Rodney is the publisher and
CHO of the Carib News. In May or June one would start seeing advertisements for the
conference on the back page of the Carib News. The Representative of Citi thought
Citi’s check went to the Carib News Foundation but did not know what the Foundation
did other than the conference. The Representative of Citi thought the conference was
“totally” financed by the sponsors. He did not know if Carib News put up any money for
the conference.

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09-6333 0054
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18. The Representative of Citi said Rodney saw the conference as an opportunity to position the Carib News as the "voice of the Caribbean" which is how the paper markets itself in New York.

19. Citi saw the conference as offering Citi three benefits: (1) it sent a message to their partners; (2) it was a business opportunity; and (3) it was good for Citi's image.

20. The members of Congress lent the meeting "clout."

21. Sponsors also bought ad space in the Carib News. This was not part of their sponsorship of the conference. Citi bought ad space in the Carib News.

22. The Representative of Citi also knows Rodney from the Board of the University of the West Indies. Both he and Rodney are members and participate in telephone meetings and, occasionally, in in-person meetings.

We certify that this memorandum contains all pertinent matter discussed with the Representative of Citi on March 17, 2009.

Leo J. Wise
Staff Director & Chief Counsel

Omar Aslamawy
Investigative Counsel

Citi MOI – Page 4 of 4

Office of Congressional Ethics

09-0333 0055
EXHIBIT 5
May 18, 2009

BY EMAIL AND REGULAR MAIL.

Mr. Leo Wise
Staff Director & Chief Counsel
Office of Congressional Ethics
United States House of Representatives
1617 Longworth House Office Building
Washington, DC 20515

Re: Request for Information, Review No. 09-2567

Dear Mr. Wise:

In response to your request for our clients’ voluntary cooperation regarding your office’s questions pertaining to the Thirteenth Annual Caribbean Multi-National Business Conference (the “Conference”), we submit the following responses. Based upon our review of the questions and our multiple conversations with your office, we believe that these responses contain the information that you are seeking. As with our previous production, to the extent that the Freedom of Information Act is applicable to any submissions made to the Office of Congressional Ethics, our clients hereby request that the information provided be treated confidentially.

The Host country participated in the Conference as follows: (1) developed local Host Committees to facilitate local planning, (2) helped to negotiate the rate with the hotel, (3) assisted in developing the theme of the Conference, (4) assisted in identifying local speakers, including the leader of Government, (5) assisted in local publicity, (6) provided local entertainment, including a school choir and cultural items, (7) arranged Host Country Evening on Friday, November 8 (the group was transported to another property for refreshments and entertainment), (8) helped with local transportation for some Carib News employees and helped arrange accommodations for some guests (not paying for such accommodations), (9) participated
Leo Winz, Esq.
May 18, 2009
Page 2

as event speakers, and (16) issued invitations to attend to specially invited guests. The Host Country provided no funds towards the cost of the Conference.

The cost for members of the public to attend the conference for the four days and three nights was $840.00 for double occupancy or $1085.00 for single occupancy. The cost of attendance covered room accommodations, meals, and admission to the Conference presentations.

The attending Members of Congress participated in sessions relevant to their Committee assignments in Congress and demonstrated interest in a particular subject matter. For example, Congressman Bennie Thompson spoke at presentations on Hemispheric Security and Immigration/Deportees, Congresswoman Donna Christensen spoke at a Town Hall Forum on Health, and Congressman Charles Rangel spoke at presentations on Haiti and the Caribbean, and the current crises facing them. In addition, all of the Members of Congress participated in a session with the local Ministers of Government to discuss issues of interest to the Caribbean region. Though correspondence with the Members of Congress indicated that a memo of the Closed Door Session would be distributed after the Conference, no such memo was ever drafted or distributed.

The total cost of the Conference approached $300,000. These costs included direct expenses such as travel, event planner fees, local staffing, and hotel payments, as well as Carib News operating expenses for the purpose of the preparation and implementation of the Conference. The Conference costs were paid using (1) registration fees by the attending guests, (2) contributions from corporate participants, some to Carib News and others to Carib News Foundation, and (3) general funds of Carib News. Each of three sources of funding was pooled together to pay the various expenses.

If you have any questions regarding this information, please do not hesitate to call.

Very truly yours,

Joe Cohen

and

Danielle Alfonso-Williams

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09-6333 0069
March 31, 2009

Mr. Leo J. Wise
Staff Director and Chief Counsel
Office of Congressional Ethics
1017 Longworth Building
Washington, D.C. 20515

Re: Citigroup, Inc. Production

Dear Leo:

On behalf of our client, Citigroup Inc., we are providing you with two documents in response to your oral request of March 17, 2009. Please find a copy of a solicitation letter to support the 2008 Caribbean Multi-National Business Conference, dated April 4, 2008, from Carib News Foundation to our client. In addition, please find a copy of both the front and back of check number 5006611264, dated June 13, 2008, payable to Carib News Inc. in the amount of $75,000.00. A search of our client’s records has not uncovered any evidence of a receipt being provided for the above-mentioned check. We will produce this document should it be identified.

The documents we are producing today are confidential and proprietary in nature, and have been marked accordingly. We ask that these documents be kept confidential by your Office and your staff. Notwithstanding our request that these documents be kept confidential, due to their sensitivity, we ask that your office or staff provide us with notice and an opportunity to be heard before disclosure of any information from these documents to any third parties.

In addition, we are providing you with an original signed document of Michael Flanagan dated March 23, 2009, acknowledging the False Statements Act.

Please let me know if you have any questions.

Sincerely,

Steven R. Ross
April 04, 2008

Mr. Eric Eve
Senior Vice President
Community Relations
Citigroup Inc.
850 Third Avenue, 12th floor
New York, NY 10022

Dear Mr. Eve,

For the past twelve years, the annual Caribbean Multi-National Business Conference has been instrumental in encouraging investment, cross-border trade and business partnerships, the role played by executives of major corporations, medium and small-size businesses and entrepreneurs, and deepens the connections with key elected officials.

Your support and that of CITI went a long way to make the Conference a success, and has fostered on-going growth in business achievements and impactful policy decisions. We appreciate your encouragement, your personal participation, and the very stature your presence brings to the Conference. We do get concrete results and expressed appreciation of new opportunities.

We can assure you that all the key stakeholders, Members of Congress, Heads and Ministers of Government, Elected Officials, Community and Business Leaders are all aware and appreciative of yours and CITI's participation in this very important mission.

This year, the Thirteenth Annual Conference is scheduled to be held in St. Maarten, November 6 - 9, 2008, and promises to further strengthen and expand on the work done by many of the Caribbean countries developing economies, in collaboration with the emerging markets initiatives in the U.S. The quality of the sessions and the high level of participation is now legendary, and is anxiously awaited each year.

Enclosed is a Power Point presentation of the sponsorship opportunities the Conference provides, and also a program and recap of the 2006-2007 Conference. We know of your interest to deepen the CITI local, regional and global connections, and I know the Conference can achieve that. It is our sincere wish that this presentation motivates your sponsorship.

Organized by Carib News Foundation. A non-profit project 501-C3 corporation
We would be happy to answer any questions you might have or to fill in any detail. I can be reached by e-mail: [REDACTED] or (212) 944- [REDACTED].

Because we know of your busy schedule, I will also follow up with your office to ascertain interest level.

Thanks for your kind consideration.

Best regards,

Faye A. Rodney
President

Karl B. Rodney
Publisher/CEO
OPENING THE REGION
INVESTMENT & BUSINESS OPPORTUNITIES

BUILDING THE GLOBAL NETWORK
GOVERNMENT LEADERS - ELECTED OFFICIALS
IMPACTING ECONOMIC POLICIES

PARTNERSHIPS
CORPORATE EXECUTIVES - SEEKING
EXPANSION & GROWTH

DOING BUSINESS TOGETHER
THE MISSION

◊ To bring together businesses, community, and government leaders interested in understanding the economic opportunities in the Caribbean marketplace locally and in the Caribbean.

◊ To make a global community among Diverse Business entities and The Caribbean.

◊ To Link the emerging markets of the U.S and the Developing Economics of the Caribbean and Latin America.
THE OPPORTUNITY

- **Marketing:** Understanding the market in the US and the Caribbean.
- **Business development:** Meeting potential customers and potential partners.
- **Strategic analysis:** Understanding the possibilities of emerging markets in the US and the Caribbean.
- **Corporate image:** Demonstrating your commitment to the Caribbean Community, and the program of diversity.
- **Community relations:** Establishing lasting relationships with key community leaders.
- **Government relations:** Meeting with and discussing topics of interest with significant elected officials from the US & the Caribbean.
STRATEGIC PARTNERSHIPS

- Corporate
- Government
- Economic
- Civic
- Entrepreneurs

- Products/Services Showcase/Public affairs
- Developing new business opportunities
- Fostering business partnerships
- Building Global Communities
- Creating Global Alliances to expand customer base
THE FACTS

- 31.9 billion US dollars in foreign investment came into the Caribbean, up 36 percent from 1996.

- Tourism is the key economic foundation in the Caribbean. Approximately 11 million cruise passengers a year visit the Caribbean, providing import/export opportunities.

- The Caribbean, in aggregate, is the 10th largest export market for the U.S, surpassing France and other countries, and providing opportunities for marketplace products.

- The $15 billion market of the Caribbean American community and overseas
THE LEGACY

- Jamaica - 1996
- Barbados - 1997
- St. Lucia - 1998
- St. Croix/USVI - 1999
- Jamaica - 2000
- Grenada - 2001
- St. Maarten - 2002
- The Bahamas - 2003
- St. Kitts-Nevis-2004
- ST. Thomas, USVI - 2005
- Panama city, Panama - 2006
- Antigua & Barbuda - 2007

- Building Consumers Awareness
- Developing Working Alliances
- Reaching Defined Target Markets
- Making the Right Connections
- Expanding Diverse Market Places
- Successful Joint/Ventures
  Successful Regional Investments
THE OVERVIEW

"Some companies have discovered that the Caribbean offers a great deal more than beautiful beaches and sunshine. They have recognized its tactical importance in this era of globalization. We are proud to provide a useful platform for companies that are seeking to sharpen their international competitiveness.

For the past twelve years, the Annual Multinational Business Conference has been creating links between the Caribbean, Central America and the U.S. Usually, during four days of workshops, luncheons and dinners, Caribbean Political Heads of State and Ministers of Government, Members of the Congressional Black Caucus, Local and Regional Politicians, business persons and influential individuals from the U.S. and the Caribbean discuss, interact and network around issues of mutual concern. Relationships are built and business deals are made.

We hope that in 2008 you will join us"
PARTICIPATION
Platinum LEVEL - $75,000

- Keynote Speaker at Main Event
- Sponsor Private VIP Reception and specially arranged forum
- Special Awards Presentation
- Display, Exhibition and signage
- Area of Conference - Reserved for exclusive sponsorship
- Full page Ad in program
- Air Transportation for 2 people
- Accommodations: One Suite and One Standard Room
- Included in all printed materials
- Included in Internet promotion
- Display company logo and link to our website
- Sponsor of a Gala Event
- Sponsor and Participate in a workshop
- Representative listed in program with bio and photo
PARTICIPATION

GOLD LEVEL - $50,000

- Sponsor a Workshop
- Sponsor a Gala Event
- Display, exhibition and signage
- Included in all printed material
- Display of Company Logo and link to our Website
- Full page ad in Program
- Representation in the Brochure
- Air Transportation & Room accommodations for 1
PARTICIPATION

SILVER LEVEL - $25,000

- Sponsor & Participate in a Workshop Display and Exhibition
- Banner in Public areas & at workshops
- Included in all printed materials
- Included in the internet promotion
- Sponsored an event i.e. breakfast, lunch or dinner
- Full Page ad in program and recap
- Representatives listed in program with bio & photos

09-6333 0085
Government Participation

"This Conference is keeping us informed. There would never have been a banana problem had we (CBC) known about the issue before it went to the WTO."  
Congressman Charles Rangel

"The Conference in Antigua with Members of the U.S. Congress was very important and extremely vital to both the U.S. and Caribbean interests. It highlighted the need for the Caribbean to pay greater attention to the role of Congress in the formulation of U.S. policy".  
Hon. Baldwin Spencer  
Prime Minister of Antigua

"The conference is central to the promotion of our mutual interests in the U.S. in general, New York City in particular, and the Caribbean. It is essential for all of us to work together to spur economic growth and social expansion at home and in our neighborhoods."  
William Thompson, Comptroller, New York City

"The results of the Conference went far beyond our expectations. The process of bringing families together, of sharing a vision for our countries, couldn't have been scripted. The sessions brought out ideas, options and other benefits which should be long lasting".  
Jaau Carlos Navarro, Mayor, Panama City, Republic of Panama
CORPORATE PARTICIPANTS

Eric Eve – SVP Community Relations, CITIGROUP: "The time is ripe for Caribbean nations to come together and get on ‘the road’ to articulate the strength of their economies and stability of their business climates. The Conference is a great place to start it open clear lines of communication between the private and public sectors of the Caribbean and the U.S."

Marilyn Johnson, VP Market Development, IBM Corporation – "IBM and its partner ENI Enterprise Network, through its presentation at the Conference, is taking the audience up through levels of technology, understanding the application of E-commerce. This conference makes a difference in the lives of the attendees."

Karen Byklin-Towers, Senior Director of Public Affairs – "The conference provides an ideal opportunity for Pfizer – it demonstrates its commitment to health issues internationally, but also to network with key decision makers. Collaboration is necessary between the Caribbean to make improvements and adjustments to healthcare and its delivery."

Edward J. Goldberg, SVP Government & Consumer Affairs, MACY’S – "We have whole file of opportunities to build business partnerships in the current corporate environment. The conference is conducive to exploring new areas of business, and we have taken advantage of this to both the region and MACY’s benefit."

Marie Long, VP Constituency Relations, AT&T Foundation – "As many of you know, AT&T has changed in the last 5 years. Its growth, dynamism and change have created what some of us call the new AT&T. Th sensual and driving force behind our success as a corporate entity is the culture of inclusion and collaboration. We recognize the great work being done at the conference to improve business and personal lives, exchange ideas, and assist alternative strategies that could lead to technology transfer and to growth."

Javier Enns, EVP Human Resources, HSBC Bank – "We provide financial services to a vast array of businesses and individuals, and this gives us a unique perspective on different cultures and ways of doing business. We want to engage our partners in mutually beneficial relationships within our communities and that is why we seize the opportunity to link with CARIB NEWS and the Conference. It is a tremendous value to us."
UNIQUE OPPORTUNITIES

Ambassador Akindele, Nigeria

"In Nigeria, we encourage initiatives that promote trade and investment. The recent signing of the Free Trade Agreement (FTA) between Nigeria and the Benelux countries is a significant step towards increasing economic cooperation. We believe that such agreements can help unlock new opportunities for innovation and growth in both regions."

Ray Hadfield, President/CEO Caribbean American Chamber of Commerce

"The Caribbean has a unique position as a bridge between the Americas. As such, we are well-placed to foster partnerships and attract investment from around the world. Our goal is to ensure that the region continues to thrive as a hub for innovation and entrepreneurship."

Shane Taylor, Editor, Caribbean American Magazine

"The Caribbean Diaspora is a powerful force for good. With a strong sense of community and shared values, we have a unique opportunity to make a significant impact on our home countries. Our magazine seeks to highlight the achievements of individuals and organizations that are making a positive difference in the Caribbean region."

Marc-Ange, Director, Caribbean Development Bank

"The Caribbean Development Bank plays a crucial role in supporting sustainable development in our region. We are committed to investing in education, health, and infrastructure projects that will benefit the people of the Caribbean. Our goal is to create a better future for all our citizens."

Lloyd Williams, President/CEO Grenada Caribbean Chamber of Commerce

"Grenada is known for its vibrant culture and beautiful beaches. Our Chamber of Commerce is dedicated to promoting the island's economy and supporting local businesses. With the right support, businesses in Grenada can thrive and contribute to the country's growth."

Harry Tappero, Entrepreneur

"I have been involved in several successful business ventures in the Caribbean. I believe in the power of entrepreneurship and the potential for young people to create new opportunities. My goal is to support and mentor the next generation of entrepreneurs in the region."

09-6333 0089
INVEST IN SUCCESS

A WEEK-END THAT CHANGES LIVES

'EXPERIENCE THE POWER'
Mr. Frank Weber
Internal Revenue Service
Freedom of Information Reading Room
1111 Constitution Avenue, NW
Washington, DC 20224

March 31, 2009

Dear Mr. Weber,

Thank you for talking with me this afternoon and for offering to help me with this request. I need to know if Carib News Charities filed a 990-PF for tax years 2006, 2007, and 2008 (I have included tax year 2008 in the event that the foundation filed before the filing deadline). I understand that the organization is not required to file if it did not receive donations in excess of $25,000. If the foundation has filed a 990-PF for 2006, 2007, or 2008, we would like to have a copy of the tax form(s). In the event that it takes several days, weeks, or months to receive the requested copies, it would be helpful to have an answer to the question whether the organization has filed and for what year(s) tax form(s) exist.

It is our understanding that the organization also does business as Carib News Foundation; however, Carib News Foundation is not found in Publication 78.

My telephone number is 202-225-9739 and my email is Elizabeth.horton@mail.house.gov. Thank you again for your help with this matter.

Sincerely,

Elizabeth Horton
Form 4506-A
Request for Public Inspection or Copy of Exempt or Political Organization IRS Form

You may not have to complete Form 4506-A to get the copies you need.

■ Internet. Form 8971, Political Organization Notice of Section 527 Status, and Form 8613, Political Organization Report of Contributions and Expenditures, are available for inspection and printing from the Internet. The website address for both forms is www.IRS.gov/applychrome.

■ Public disclosure by the organization. Exempt or political organizations must make their returns, reports, notices, and exempt applications available for public inspection. You can visit the organization to inspect the material instead of requesting it from the IRS. The organization may be able to mail the copies to you.

1. Exempt or political organization. If a multiple request, please attach list of names, forms, and tax years.

   Name: CARRIE NEWS CHARITIES
   Employer Identification number (if any): 13- 326,8050
   Address: 27 WEST 36TH STREET, FLOOR 8
   City or town, state, and ZIP code: NEW YORK, NY 10018

2. Requester: ELIZABETH HARRIS
   Address: 1111 LONGWORTH BUILDING
   City or town, state, and ZIP code: WASHINGTON, DC 20515
   Phone: 202-225-9739
   Date: 3/26/04

   Category of request: [ ] Commercial [ ] Media [ ] Non-commercial [ ] Education [ ] Other

   Please check the box: [ ] Educational [ ] Commercial [ ] Media [ ] Non-commercial [ ] Other

   Reason for request: [ ] All requests except for commercial ones must provide an explanation of how the records will be used to avoid being denied the request. Attach additional sheets if necessary.

   TO: CARRIE NEWS CHARITIES
   RE: REQUEST FOR FINANCIAL INFORMATION
   TAX YEARS: 2000, 2001

   Request—5-6. For each applicable form, check the box(es) for the form(s) you are requesting. You may request more than one form. For each form requested, check either the copy, inspection, or CD/DVD box and enter the specific year(s), as indicated. If ordering a partial set on CD/DVD, indicate the format, starting, and ending(s) requested.

   1. Form 990, Form 990-EZ
      [ ] Copy [ ] Inspection
      Tax year(s) requested: 2000
      CD/DVD Format [ ] Acrobat [ ] Raw
      Month: ________

   2. Form 990-PF
      [ ] Copy [ ] Inspection
      Tax year(s) requested: 2004, 2005 (if any)
      CD/DVD Format [ ] Acrobat [ ] Raw
      Month: ________

   4. Form 990-T
      [ ] Copy [ ] Inspection
      Tax year(s) requested: 2000, 2001 (if any)
      CD/DVD Format [ ] Acrobat [ ] Raw
      Month: ________

   6. Form 990-EZ
      [ ] Copy [ ] Inspection
      Tax year(s) requested: 2000, 2001 (if any)
      CD/DVD Format [ ] Acrobat [ ] Raw
      Month: ________

   7. Form 1120-P
      [ ] Copy [ ] Inspection
      Tax year(s) requested: ________
      CD/DVD Format [ ] Acrobat [ ] Raw
      Month: ________

   IRS Use Only

   The form requested above was inspected by (name of requested)
   IRS office where inspection was made

   Signature of employee present at inspection

   Date

For Privacy Act and Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 4728D
Form 4506-A (Rev. 9-2004)

146
OFFICE OF CONGRESSIONAL ETHICS
ATTN: ELIZABETH HORTON
1101 Longworth Building
Washington DC 20515

Taxpayer Identification Number: 13-3632050
Organization: Carib News Charities, Inc.

Form(s): 990PF
Tax Period(s): May 31, 2006 May 31, 2007
May 31, 2008

Dear Requester:

We received your Mar. 31, 2009, request for a copy of the
Form(s) 990PF relating to the organization(s) identified above.
Enclosed is a copy of the Form(s) you requested. We are unable to
provide a copy of the Form(s) requested for the following tax
period(s):

May 31, 2006

We regret that we can not provide a photocopy of return(s) for the
organization(s) and year(s) you requested. There are a variety of
reasons why these returns are not available, for example:

- the organization may not be required to file the requested
  return because its gross receipts are $25,000 or less.
- the organization may be included in a group ruling and the
  parent may have filed a group return.
- the organization may have received an extension of time to file.
- processing of the organization's return may not be complete.
- return(s) are destroyed after a certain number of tax years.
- the organization may not be required to file.

If you have any questions, please write us at the address shown on
the top of the first page of this letter. Or, you may call us toll
free at 1-877-829-5500.

Whenever you write, please include this letter end, in the spaces
below, give us your telephone number with the hours we can reach
you. Please keep a copy of this letter for your records.

Telephone Number ( ) ___________ Hours ______

09-6333 0095
**Form 990-PF**

*Return of Private Foundation or Section 4947(a)(1) Nonexempt Private Foundation Treated as a Private Foundation*

**For Calendar Year 2005, or tax year beginning June 1, 2005, and ending May 31, 2006**

**Part I: Information About the Private Foundation and Its Industry**

- **Name of organization:** [Redacted]
- **Identification number:** 09-63330096
- **Address:** [Redacted]
- **City:** [Redacted]
- **State:** [Redacted]
- **Tax-exempt status:** [Redacted]
- **Filing status:** [Redacted]
- **Foreignactivities:** [Redacted]
- **Domestic employees:** [Redacted]
- **Distributions:** [Redacted]
- **Partnership:** [Redacted]
- **Investment income:** [Redacted]
- **Investment expenses:** [Redacted]

**Part II: Information About the Private Foundation and Its Industry**

- **Revenue:**
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]

- **Total Revenue:** [Redacted]

- **Expenses:**
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]
  - [Redacted]

- **Total Expenses:** [Redacted]

**Exhibit A: Adjusted Net Income**

- **Adjusted net income:** [Redacted]

**For Federal Tax and Paperwork Reduction Act Notice, use the instructions.**

**Filed on:** [Redacted]

**USA**

**Date:** [Redacted]

**State:** [Redacted]

**City:** [Redacted]

**Zip Code:** [Redacted]

**Note:** The instructions may be obtained on the IRS website at www.irs.gov or by calling 1-877-795-2807.
### Part I: Balance Sheet

<table>
<thead>
<tr>
<th>Description</th>
<th>Beginning of year</th>
<th>End of year</th>
<th>30-Fax Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Savings and temporary investments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts receivable</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Allowance for doubtful accounts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notes receivable</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Allowance for doubtful accounts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants receivable</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts due from officers, directors, trustees, and other disqualified persons (other than salaries)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less: Allowance for doubtful accounts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Inventories for sale or use</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prepaid expenses and deferred charges</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments—other than securities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments—corporate stock (at book value)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments—bonds, notes, and other obligations (at book value)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less: Allowance for doubtful accounts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments—mortgage loans</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments—other (at book value)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less: Allowance for doubtful accounts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total assets (to be completed by all filers—see page 14 of the instructions)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts payable and accrued expenses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notes payable</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deferred revenue</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less: Trust funds, reserves, and other fiduciary accounts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mortgages and other notes payable (at book value)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other liabilities (discussed below)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Less: Liabilities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organizations that follow SFAS 117, check here</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organizations that do not follow SFAS 117, check here</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tangible net assets:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital stock, trust capital, or current fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reserves for unencumbered reserves, or fund, etc., and equipment fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total net assets or fund balances (see page 17 of the instructions)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total liabilities and net assets/fund balances (see page 17 of the instructions)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Part II: Analysis of Changes in Net Assets or Fund Balances

1. Total net assets or fund balances at beginning of year (Part II, column (a), line 20) (must agree with end-of-year figure on statement, or end of year) | | |
2. Enter amount from Part I, line 27(a) | | |
3. Other increases not included in line 2 (disclosed) | | |
4. Add lines 1, 2, and 3 | | |
5. Decreases not included in line 2 (disclosed) | | |
6. Total net assets or fund balances at end of year (Part II, column (c), line 20) | | |
### Part IV: Capital Gains and Losses for Tax on Investment Income

<table>
<thead>
<tr>
<th>Taxable year</th>
<th>Gross sales price</th>
<th>Basis of cost or other base at the moment of sale</th>
<th>Date of sale or date of distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1994</td>
<td>$1,000,000</td>
<td>$500,000</td>
<td>12/31/1994</td>
</tr>
</tbody>
</table>

- Basis of cost or other base at the moment of sale: $500,000
- Date of sale or distribution: 12/31/1994

#### Qualification Under Section 404(b) for Deduction of Tax on Net Investment Income

For purposes of section 404(b) (deduction of tax on net investment income), was the organization subject to the excise tax on net investment income? Yes [ ] No [x] If Yes, the foundation is subject to the excise tax on net investment income. Do not complete this part.

1. Enter the appropriate amount in each column if applicable:
   - All columns must be filled in.

<table>
<thead>
<tr>
<th>Taxable year</th>
<th>Capital gain or loss net of cost or other base at the moment of sale</th>
</tr>
</thead>
<tbody>
<tr>
<td>1994</td>
<td>$500,000</td>
</tr>
</tbody>
</table>

#### Conclusion

This is a copy of a live return from ships. Official use only.
### Part V: Exempt Organization Tax Return (Section 501(a)(3), 501(a)(4), 501(a)(6), or 501(a)(27))—see page 13 of the instructions

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Gross income</td>
<td>$152</td>
</tr>
<tr>
<td>2</td>
<td>Tax-exempt income</td>
<td>$0</td>
</tr>
<tr>
<td>3</td>
<td>Enter line 2 on line 1</td>
<td>$0</td>
</tr>
<tr>
<td>4</td>
<td>Taxable income</td>
<td>$152</td>
</tr>
<tr>
<td>5</td>
<td>Subtract line 4 from line 1</td>
<td>$0</td>
</tr>
</tbody>
</table>

#### Part VII: Financial Statement

<table>
<thead>
<tr>
<th>Financial Statement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total assets</td>
</tr>
<tr>
<td>Total liabilities</td>
</tr>
<tr>
<td>Net assets</td>
</tr>
</tbody>
</table>

### Part VIII: Forms and Filings

- Form 990-ES filed on 09-6333 0099
- Form 990 filed on 09-6333 0099

**This is a copy of a live return from E-box. Official use only.**
Form 4720 Statements Reporting Activity for Which Form 4720 May Be Required

1a. During the year did the organization make any transfer to a disqualified person? 
   Yes 
   No

1b. Were any of the following activities conducted during the year? Check all that apply.
   - Yes
   - No
   - memo

1c. Did the organization have any business enterprises at any time during the year? 
   Yes
   No

2a. Did the organization make any investments in any business enterprises at any time during the year? 
   Yes
   No

2b. Did the organization make any loans to any business enterprises at any time during the year? 
   Yes
   No

3a. Did the organization have any interest in any business enterprises at any time during the year? 
   Yes
   No

4a. Did the organization make any contributions to any business enterprises at any time during the year? 
   Yes
   No

5a. Did the organization have any investment in any business enterprises at any time during the year? 
   Yes
   No

6a. Did the organization make any loans to any business enterprises at any time during the year? 
   Yes
   No

7a. Did the organization have any interest in any business enterprises at any time during the year? 
   Yes
   No

8a. Did the organization own any business enterprises at any time during the year? 
   Yes
   No

9a. Did the organization make any contributions to any business enterprises at any time during the year? 
   Yes
   No

10a. Did the organization have any investment in any business enterprises at any time during the year? 
    Yes
    No
**Part VIII**

Information About Officers, Directors, Trustees, Foundation Managers, and Other Paid Employees and Contractors

1. List all officers, directors, trustees, foundation managers and other paid employees and contractors (see page 21 of the instructions).

<table>
<thead>
<tr>
<th>Name and address</th>
<th>Title and amount of time per week in office</th>
<th>Compensation</th>
<th>Duties for which board, committee, or other entity is responsible</th>
<th>Expenses account, other information</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

2. Compensation of five highest-paid employees (other than those included on lines 1—4) (see page 21 of the instructions).

<table>
<thead>
<tr>
<th>Name and address of each employee paid more than $50,000</th>
<th>Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

   Total number of other employees paid over $50,000

   3. Five highest-paid independent contractors for professional services (see page 21 of the instructions). If none, enter "NONE".

<table>
<thead>
<tr>
<th>Name and address of each person paid more than $50,000</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

   Total number of other persons receiving over $50,000 for professional services

   **Part IX A**

   Summary of Direct Charitable Activities

   List the foundation's four largest direct charitable contributions during the tax year. Should include at least a description of the purpose for which funds were contributed, the amount, the recipient, and the date.

<table>
<thead>
<tr>
<th>Purpose of payment</th>
<th>Description of contribution</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

**THIS IS A COPY OF A LIVE RETURN FROM SHIPS OFFICIAL USE ONLY**
Part VII: Summary of Program-Related Investments (see page 22 of the instructions)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
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<tr>
<td>2.</td>
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<tr>
<td>3.</td>
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</tbody>
</table>

All other program-related investments see page 22 of the instructions.

Part X: Minimum Investment Return (all domestic foundations must complete this part. Foreign foundations, see page 22 of the instructions)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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</tr>
<tr>
<td>2.</td>
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<td>5.</td>
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<td>6.</td>
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<tr>
<td>7.</td>
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<tr>
<td>8.</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
</tr>
</tbody>
</table>

Part XI: Distributable Amount (see page 22 of the instructions for certain foreign organizations only)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<tr>
<td>3.</td>
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<tr>
<td>4.</td>
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<td>5.</td>
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<td>6.</td>
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<tr>
<td>8.</td>
<td></td>
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</tbody>
</table>

Part XII: Qualifying Distributions (see page 22 of the instructions)

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
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<td>3.</td>
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<tr>
<td>4.</td>
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<tr>
<td>5.</td>
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<tr>
<td>6.</td>
<td></td>
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</tbody>
</table>

Note: The amount on line 6 will be used in Part X, columns a, b, and c in subsequent years when calculating whether the foundation qualifies for the minimum investment return of 5% of the assets.
**Form 1040 (2005)**

**Page 8**

<table>
<thead>
<tr>
<th>Column 14</th>
<th>Column 31</th>
<th>Column 39</th>
<th>Column 51</th>
<th>Column 55</th>
</tr>
</thead>
<tbody>
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<tr>
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<th>Column 31</th>
<th>Column 39</th>
<th>Column 51</th>
<th>Column 55</th>
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</thead>
<tbody>
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</table>

<table>
<thead>
<tr>
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<th>Column 31</th>
<th>Column 39</th>
<th>Column 51</th>
<th>Column 55</th>
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<tbody>
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</tbody>
</table>

**Notes:**
- **Form 1040 Instructions**
- **Official Use Only**
- **This is a Copy of a Live Return from IRS**

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**Questions:**
- What is the purpose of this form?
- What is the significance of columns 14, 31, 39, 51, and 55?
- How do you determine the amounts for these columns?
**Private Operating Foundations**

<table>
<thead>
<tr>
<th>Tax year</th>
<th>2020</th>
<th>2021</th>
<th>2022</th>
<th>2023</th>
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</thead>
<tbody>
<tr>
<td>Income</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expenses</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Supplementary Information**

1. Information Regarding Foundation Managers:
   - List any managers of the foundation who have been paid more than $50,000 in any one year during the tax year or any part of the previous tax year. (See section 509(b)(1)(B)).

2. Information Regarding Contributions, Grants, Loans, Scholarships, etc.:
   - Check here if 1 or more contributions to represented organizations do not exceed $100,000. If yes, circle the amount contributed to each of these organizations (or the aggregate contributed to all such organizations). (See section 509(b)(1)(B)).

- The name, address, and telephone number of the person or persons to whom applications should be addressed:

- The form or forms in which applications should be submitted and information and materials they should include:

- Any restrictions or limitations on awards, such as in geographical area, charitable fields, limits of institutions, or other factors:

**Note:** This is a copy of a tax return from the IRS, official use only.
**Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations**

1. Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c)(3) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?
   - [ ] Yes
   - [x] No

   a. Transfers from the reporting organization to a noncharitable exempt organization.
   b. Cash.
   c. Other assets.
   d. Other intangibles.
   e. Sale of assets to a noncharitable exempt organization.
   f. Purchases of assets from a noncharitable exempt organization.
   g. Rental of intangibles, equipment, or other assets.
   h. Reimbursable arrangements.
   i. Lending of intangible:
   j. Performance of services or membership or fundraising solicitations.
   k. Shaving of intangible, equipment, making lists, other assets, or paid employees.

2. Is the organization directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c)(3) of the Code (other than section 501(c)(3) or in section 527)?
   - [ ] Yes
   - [x] No

   a. Name of organization.
   b. Type of organization.
   c. Description of relationship.

---

**Sign Here**

[Signature]

[Date]

[Name]

Preparer's D/N or P/S (This form serves as payee of the installation.
Preparer's D/N or P/S (This form serves as payee of the installation.

[Preparer's D/N or P/S]

**This is a copy of a live return from E-FILE. OFFICIAL USE ONLY.**

[09-6333 0107]
Search for Charities, Online Version of Publication 78 Search Results

<table>
<thead>
<tr>
<th>Name</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Childrise</td>
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</tr>
</tbody>
</table>

Search for Charities, Online Version of Publication 78 Search Results

09-6333 0107.1

http://www.irs.gov/app/pub-78/searchFromResults.do?nameSearchTypeStarts=false&name... 6/5/2009
Deductibility Code

Publication 78 uses a coding system to identify each organization listed by type and limitation on deductibility of charitable contributions to the organization. The code(s) displayed depend on the code for which the organization qualifies. In cases where an organization has multiple deductibility codes, only the definition for each applicable deductibility code is displayed.

<table>
<thead>
<tr>
<th>Code</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>A private foundation, generally with a 30% deductibility limitation.</td>
</tr>
</tbody>
</table>

Close
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OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Memorandum of Interview

In Re: Representative of IBM, Vice President Market Development, IBM
Review #: 09-2567; 09-4403; 09-3698; 09-6333; 09-2222
Date: May 8, 2009
Location: IBM Offices, Washington, D.C.
Participants: Leo Wise
Beth Horton
Lisa Pallucco, Counsel for Government Programs for IBM
Adrienne G. Rhone, Director Governmental Programs

Summary: The Representative of IBM is the Vice President of Market Development for IBM. She was interviewed pursuant to Reviews 09-2567; 09-4403; 09-3698; 09-6333; and 09-2222. The Representative of IBM helped arrange IBM's participation at the 13th Annual Caribbean Multinational Business Conference in 2008; she also participated at the event. We requested an interview with the Representative of IBM and she consented to an interview. The Representative of IBM made the following statements in response to our questioning:

1. The Representative of IBM was given an 18 U.S.C. § 1001 warning and she signed a written acknowledgement of the warning.
3. She attended the conference to extend IBM to areas that were not currently being served. She focuses on the Caribbean because of her division at IBM which is women and minorities. The Caribbean is an underdeveloped business unit for IBM.
4. She first attended the conference in 2004, as a participant, to see if the conference would be a good fit for IBM to participate at as a sponsor.

5. IBM was an entry level sponsor in '05.

6. She dealt with Faye Rodney on conference matters.

7. After her attendance in '05, she received a thank you letter signed by the Rodneys that asked IBM to be a sponsor at the '06 conference.

8. IBM participated at the '05, '06, '07 and '08 conference.

9. The Rodneys continued their prior practice and sent a thank you letter with a request for sponsorship after the '07 conference for IBM to participate at the '08 conference.

10. The letter was sent to the Operations Executive and the decision to participate was decided as a team. Colin Ward, with ENI Systems, is one of IBM's business partners who also went to the conference.

11. The letter is the first communication regarding the conference.

12. After the letter is received, the team manager negotiates participation at the conference. Negotiations included timing of sessions (day/time). She requested Friday, right before or right after lunch, for the IBM session. It was important to have attendance by individuals interested in technology.

13. She also agreed to moderate the women's breakfast sponsored by Macy's.

14. The team manager would have worked with the Rodneys regarding the break-out sessions.

15. IBM controlled its own content for the session(s).

16. The first year IBM sponsored the conference, the sponsorship level was $10,000. IBM sponsored the conference the following year at $15,000, and in '08 the sponsorship went up to $20,000 after IBM received a request from Faye Rodney for an increase. The Representative of IBM initially counter-offered $18,000 but agreed in the $20,000 at the urging of Mr. Rodney.

17. IBM has a methodical way of approving conference sponsorships. The letter from the Rodneys was received in July.
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18. She approved the check for the purchase order and released the check. Carib would have received the check in August or September.

19. After the check is released, she and the business partner collaborate on the content of the session.

20. She and the business partner attended the conference.

21. She has only seen the Rodneys at the conference. She has been invited to other events but has not accepted the invitations.

22. She received a call from Mr. Rodney about the article on the conference.

23. She had no knowledge of the Foundation until this matter.

24. She understood Carib News to be the sponsor.

25. The $20,000 level of sponsorship is low for IBM in general. However, it is worth the presence and branding for small the small business unit practice.

26. She thought IBM’s sponsorship was of the conference, she did not know the Foundation existed until this issue arose. Her department does not give to non-profit organizations, only to businesses.

27. The only parameters placed on the money for the conference was with respect to time slots and length of the sessions.

28. She tells her team her preferences and the team works out the specifics with Carib.

29. She does not recall seeing a specific document that listed the various levels of sponsorship.

30. Carib News provides the framework for the conference. Then she typically tells Carib what she wants and what they will pay. She was aware from the signage that other companies were larger sponsors.

31. She arrived at the conference on Thursday and attended the opening reception. She attended a reception on Friday that was hosted by Citi and a breakout session.

32. She noticed names of entities on the agenda from the website that she knew were not at the conference.
33. She noted that the agenda also listed her breakout session on Saturday which was inaccurate. Her session was on Friday, so she knew the agenda could not have been the final agenda.

34. She seemed to recall seeing the agenda that was submitted to Standards. She noted that the 12:00pm session was accurate, but that she did not believe that the breakout listed on Saturday was accurate.

35. She attended the Macy’s breakfast on Saturday morning because it is a popular event. She noted who was on the breakfast panel and who was not (names were listed on agenda). Michelle Patterson did not speak, Burnice Johnson was not on the panel and she was not sure if she even attended the conference.

36. She saw several of the Members who attended the conference. She was on the same flight as Representative Payne. She spoke to Representative Rangel at the reception. Representative Kilpatrick was on a panel with her. And Representative Thompson road to an off-site event with her. She was sure that she spoke to Delegate Christensen. And she spoke to Sheila Jackson Lee at the awards night.

37. The off-site event was held at a separate hotel, it included local talent and a comedian.

38. She stated that Members did not attend the breakout sessions.

39. She had a conversation with Rep. Thompson regarding the election.

40. She left the conference on Sunday morning by 7:00am.

41. She spoke with her team after the article regarding the conference came out.

42. She also called Mr. Rodney after she saw the article; she stated that he told her that there was an investigation and assured her that he had done all that he was supposed to do and that he wanted to keep her as a sponsor.

43. She understood sponsor to be financial sponsor of the conference. She assumed all of the companies whose logos appeared on the banner were sponsors. She assumed Carb News organized the conference.

44. She was not aware of how funding for the conference was handled. She assumed the payment from IBM went to pay for her breakout session and collateral expenses for the session.
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45. Her registration fee was part of the sponsorship. She paid for her room and all travel costs.

46. There were less than 300 people at the conference.

47. When she registered for the conference, she received a badge that allowed access to buffets during the meetings.

48. The registration fee for the conference in '05 was $750.00.

49. She was not aware of the '08 registration fee.

Beth Horton
Investigative Counsel
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EXHIBIT 10
November 25, 2008

Mr. Karl B. Reddy
Chairman & CEO
Carib News Charities, Inc.
7 West 36th Street, 8th Floor
New York, NY 10018

Dear Mr. Reddy:

On behalf of the Verizon Foundation, it is a pleasure to present the enclosed check for $35,000.00 to Carib News Charities, Inc. in support of the 13th Annual Carib News Multi-National Business Conference – November 6-9, 2008.

Under the Omnibus Budget Reconciliation Act of 1993, Verizon Communications must receive a written receipt from all organizations to which it makes a charitable contribution. Therefore, please complete and return the enclosed form acknowledging this gift within two weeks of receipt.

Verizon Foundation is delighted to support Carib News Charities, Inc. and we wish to thank you and the organization for your dedication and contribution to our communities.

Please recognize our contribution as coming from “Verizon Communications.”

Sincerely,

Susan A. Sullivan
Director - Strategic Planning & Partnerships

Sincerely,

Sahid

Enclosures

cc: Patrick Gasus
    Albert Brown

09-6333 0116

VZ-OCE 0001
<table>
<thead>
<tr>
<th>Invoice Number</th>
<th>Invoice Date</th>
<th>Description</th>
<th>Amount</th>
<th>Discount</th>
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<tr>
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<td>30,000.00</td>
<td>0.00</td>
<td>30,000.00</td>
</tr>
</tbody>
</table>

Grand Total: $30,000.00

Questions? Call 910-726-1070

PO Box along perforated dotted line & remove check

Pay CABN News Charities, Inc.
7 West 35th Street, 8th Flr.
New York, New York 10018

January 2018

CABN News Charities, Inc.
7 West 35th Street, 8th Flr.
New York, New York 10018

09-6333 0117

VZ-0CE 0902
Acknowledgment of Charitable Contribution

IMPORTANT: Please acknowledge the accepted charitable contribution by completing and returning this form. Donors cannot deduct contributions unless they are acknowledged in this manner and a letter is returned from the donee organization.

1. I hereby acknowledge the Verizon Foundation 2008 contribution of $26,000.00

   (or describe property or services other than money received)

   Received on [date]:
   Date of check: 11/2/08

2. Please indicate whether or not any goods or services were provided by your organization in consideration for this contribution (e.g., the value of food, beverages, ticket or admission fee at a fundraising event).

   Yes  No

If YES, please describe what was provided and give a good faith estimate of the value of the goods or services, understanding that the amount of the contribution that is deductible as a charitable contribution is limited to the excess of the money and the value of property contributed over the value of the goods and services provided by the charity.

Description:

3. The information above is provided for the purpose of complying with IRS reporting requirements and is accurate to the best of my knowledge. I understand that penalties may be imposed by the IRS on donors that fail to make the required disclosure or for making a disclosure that is inaccurate or incomplete.

   Name:

   Title:

   Organization: Cables News Channel, Inc.

   Organization Tax ID: 133135056

   Signature:

   Date:

   Please return to:

Verizon Foundation
One Verizon Way
Wilmington, DE 19850

Phone: 302-513-2200
Fax: 302-656-4077

09-6333 0118

VZ-OCE 0063
Acknowledgment of Charitable Contribution

IMPORTANT: Please acknowledge the enclosed charitable contribution by completing and returning this form. Donors cannot deduct contributions unless they are acknowledged in this manner or a letter is returned to them in a timely manner making it believable for future contributions by Verizon Foundation.

1. I hereby acknowledge the Verizon Foundation 2008 contribution of:
$35,000.00

2. Please describe property or services other than money received:

3. The information above is provided for the purpose of complying with IRS reporting requirements and is accurate to the best of my knowledge. I understand that penalties may be imposed by the IRS on charities that fail to make the required disclosure or for making a disclosure that is inaccurate or incomplete.

Date: 11/21/08

Signature: [Signature]

Title: [Title]

Organizational Name: [Organization Name]

TelephoneNumber: [Telephone Number]

Fax: [Fax Number]

Address: [Address]

Date: 12/5/08

[Name]

Ante Carlson-Hunt
Verizon Foundation

08-6333 0119

VZ-OCE 0004
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OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Memorandum of Interview

In Re: Representative 1 of the Verizon Foundation
Review #: 09-2567; 09-4403; 09-3698; 09-6333; 09-2222
Date: March 23, 2009
Location: Verizon Office, Washington, DC
Participants: Leo Wise
            Omar Ashmawy
            Beth Horton
            David Kass, Assistant General Counsel Compliance
            James C. Wilson, Vice President and Associate General Counsel Compliance

Summary: Representative 1 of the Verizon Foundation is the President and the Strategic Director for Philanthropy of the Verizon Foundation. He was interviewed pursuant to Reviews 09-2567; 09-4403; 09-3698; 09-6333; and 09-2222. Representative 1 of the Verizon Foundation participated at the 13th Annual Caribbean Multinational Business Conference in 2008. We requested an interview with Representative 1 of the Verizon Foundation and he consented to an interview. Representative 1 of the Verizon Foundation made the following statements in response to our questioning:

1. Representative 1 of the Verizon Foundation was given an 18 U.S.C. § 1001 warning, signed a written acknowledgement of the warning

2. Representative 1 of the Verizon Foundation is currently the President of the Verizon Foundation ("the Foundation") and Strategic Director for Philanthropy. His duties

Verizon 1 MO1 – Page 1 of 5

Office of Congressional Ethics

09-6333 0121
involves budget planning and implementation and governance for the foundation. Representative 1 of the Verizon Foundation has significant decision-making authority over grants issued by the foundation. He approves all grants in excess of $25,000 and all grants funded more than two years in a row. He has been with the foundation and serving as President for the past five years.

3. The Foundation is funded through a corpus donated by Verizon and through public donations under Verizon Reads, a program that is offered as part of customer billing statements. The Foundation approves approximately 2,500 grants (totaling $67 million) through a competitive loan application process. The Foundation’s online loan application process has specific approval requirements, including a quarterly “impact report.”

4. The Foundation funded the Carib News Foundation for the first time in 2008, the grant was issued to provide funding for the 13th Annual Caribbean Multinational Business Conference ("the Conference"). Representative 1 of the Verizon Foundation approved the Carib News Foundation grant. Representative 2 of the Verizon Foundation was the Foundation’s contact person for the Conference. Representative 1 of the Verizon Foundation did not interact with Karl Rodney or anyone at Carib News regarding the Foundation’s participation at the Conference. Both Representative 1 of the Verizon Foundation and Representative 2 of the Verizon Foundation attended the conference. Mr. Rodney invited Representative 1 of the Verizon Foundation to speak at the Conference and subsequently apply for a grant from the Foundation.

5. Representative 1 of the Verizon Foundation and Mr. Rodney are both members of the board of the Foundation for the University of the West Indies. The two men interacted at board meetings four times per year. Representative 1 of the Verizon Foundation stated that he may also have spoken to Mr. Rodney 1-2 other times prior to the Conference regarding how the Foundation could showcase its Thinkfinity program. He also stated that he may have spoken to Mr. Rodney once after receiving his letter of invitation for the Conference. He does not recall Mr. Rodney "pitching" the conference to him.

Representative 1 of the Verizon Foundation stated that the Foundation would not have participated at the Conference unless he could speak on educational issues. Representative 1 of the Verizon Foundation believed the Conference would be a good opportunity to showcase the Foundation’s Thinkfinity program.

6. Mr. Rodney was aware of the Foundation’s educational work through his interaction with Representative 1 of the Verizon Foundation at board meetings for the Foundation of the University of West Indies. Representative 1 of the Verizon Foundation stated that while...
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he had spoken with Mr. Rodney regarding the Thinkfinity program, he did not make any
type of informal commitment to fund the Conference.

7. Representative 1 of the Verizon Foundation believed that there were three levels of
sponsorship for the Conference, the highest being $50,000 and the lowest being $25,000.
However, he does not recall seeing any specific document(s) setting out the different
levels of sponsorship. He stated that he was not interested in sponsorship at the $50,000
level but later decided on a $35,000 grant donation. When asked what the Foundation
received at the Conference for the $35,000, Representative 1 of the Verizon Foundation
stated signage and visibility. Representative 1 of the Verizon Foundation stated that the
Foundation often provides such support for conferences, including the NAACP
conference and National Urban League Conference.

8. Representative 1 of the Verizon Foundation was provided 3 venues at the Conference to
speak about the Thinkfinity program. The Foundation believed participation at the
Conference would provide exposure to English speaking Caribbean individuals who have
connections to universities in New York.

9. The Foundation is required to issue grants only to 501(c)(3) entities. The Foundation
could not make a donation to a corporation. Representative 1 of the Verizon Foundation
was somewhat familiar with the Carib News paper; he has been featured in the paper and
Verizon has advertised in the paper. Representative 1 of the Verizon Foundation was not
aware of Carib News Charities until the entity applied for a grant. He believed Carib
News Charities was the same entity as Carib News Foundation. He is not aware of any
other work the Carib News Charities/Foundation is involved in other than the conference.
Mr. Rodney did not talk about the Carib News Charities/Foundation at board meetings.

10. Representative 1 of the Verizon Foundation arrived at the Conference on Thursday
afternoon and departed on Saturday morning. Representative 1 of the Verizon
Foundation stated that he went to make his speech and promptly left the event.
Representative 1 of the Verizon Foundation spoke 3 times on Friday; he was
acknowledged at the welcome event on Friday morning and he participated in a
demonstration on Thinkfinity in the afternoon. It is not clear from Representative 1 of
the Verizon Foundation’s remarks what other time he spoke at the Conference. He was
invited to speak on Saturday but he did not feel that an extra day was necessary.

11. Representative 1 of the Verizon Foundation recalled seeing and speaking to Congressman
Rangel. The Congressman mentioned Alttel and told him to remind his CIO to keep in
mind the needs of the minority community. Representative 1 of the Verizon Foundation

Verizon 1 MOI – Page 3 of 5

Office of Congressional Ethics

09-6333 0123
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stated that he had no other contact with Members at the Conference. He did not know Delegate Christensen, Congressman Thompson, Congressman Payne and was not sure whether he saw Congresswoman Kilpatrick (he was not sure who she is). He does recall that one lady stated that she would love to see the Thinkfinity program in her state.

Representative 1 of the Verizon Foundation was accompanied by Representative 2 of the Verizon Foundation 90% of the time he was at the Conference; he was not aware of any contact between Representative 2 of the Verizon Foundation and any Members.

12. Representative 1 of the Verizon Foundation received an advance copy of the agenda for the conference. The copy indicated that the Foundation was scheduled for two days of activities. He requested that the Saturday meetings be canceled or moved to Friday. He had not seen the agenda that Mr. Rodney submitted to the Ethics Committee for travel approval. He stated that advance copies of the agenda were common, most organizations provided the same level of detail with other conferences. He believed that he had seen more than one copy of the agenda. The agendas that were sent to him focused on the Foundation's participation and not the entire conference.

13. Representative 1 of the Verizon Foundation was asked if it was typical to have an agenda that listed speakers without identifying their employer/affiliations. He was not sure and didn't remember if the drafts he had seen included his title; he was more concerned with having a sense of what he would be doing at the Conference.

14. Representative 1 of the Verizon Foundation spoke with Mr. Rodney prior to the Conference to cancel the programs he was slated to speak at on Saturday (this was his 3rd call regarding the Conference – 1st call was regarding invitation, 2nd call was to discuss his participation, 3rd was to cancel Saturday programs). Mr. Rodney was receptive to Representative 1 of the Verizon Foundation's request and the Saturday program was canceled.

15. The Foundation paid all travel expenses for Representative 1 of the Verizon Foundation. He did not see the check the Foundation issued for the Conference or the confirmation letter from Mr. Rodney. Representative 1 of the Verizon Foundation met with Mr. Rodney following the conference at a board meeting for the Foundation for the University of West Indies. He also had breakfast with Mr. Rodney at which time they briefly discussed the Conference. According to Representative 1 of the Verizon Foundation, Mr. Rodney was upset over the New York Post article regarding the Conference. Representative 1 of the Verizon Foundation stated that Mr. Rodney felt the article was misleading and that he had done everything that he was supposed to do.
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regarding receiving approval from the Ethics Committee. Representative 1 of the
Verizon Foundation stated that he and Mr. Rodney did not spend much time speaking
about the matter. He felt that Mr. Rodney wanted him to know that he was diligent
about following rules. When asked if he knew what rules Mr. Rodney was speaking
about, Representative 1 of the Verizon Foundation stated that he did not know which
rules he was referring to.

16. Prior to his work with the Foundation, Representative 1 of the Verizon Foundation was
with Government Affairs with Verizon, his former position did not involve lobbying. His
position involved Strategic Alliance, he was responsible for working with non-profits
across the country. He dealt with policy issues regarding universal service. He did not
interact with regulators.

17. Representative 1 of the Verizon Foundation met with Eric Eve with Citi 2-3 weeks prior
to our interview, they were both attending a meeting with the head of the NAACP. He
did not speak to Mr. Eve about the Conference although they did speak about scrutiny on
Citi related to TARP funding. He has not had any contact with the Representative of Citi
from Citi.

Beth Horton
Investigative Counsel
EXHIBIT 12
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OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Memorandum of Interview

In Re: Representative 2 of the Verizon Foundation

Review #: 09-2567; 09-4403; 09-3698; 09-6333; 09-2222

Date: March 23, 2009

Location: Verizon Offices, Washington, DC

Participants: Leo Wise

Omar Ahmad

Beth Horton

David Kass, Assistant General Counsel Compliance

James C. Wilson, Vice President and Associate General Counsel Compliance

Summary: Representative 2 of the Verizon Foundation is the National Program Director for the Verizon Foundation and Vice President for Education & Technology for Verizon. He was interviewed pursuant to Reviews 09-2567; 09-4403; 09-3698; 09-6333; and 09-2222.

Representative 2 of the Verizon Foundation helped arrange the Verizon Foundation’s participation at the 13th Annual Caribbean Multinational Business Conference in 2008; he also accompanied Representative 1 of the Verizon Foundation to the event. We requested an interview with Representative 2 of the Verizon Foundation and he consented to an interview. Representative 2 of the Verizon Foundation made the following statements in response to our questioning:

1. Representative 2 of the Verizon Foundation was given an 18 U.S.C. § 1001 warning, signed a written acknowledgement of the warning
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2. Representative 2 of the Verizon Foundation is currently the National Program Director for the Verizon Foundation ("the Foundation") and Vice President for Education & Training for Verizon. He works on educational literacy and technology innovations for the Foundation, 80% of his time is spent on Thinkfinity. He is the only person with an operational role in the program.

3. Representative 2 of the Verizon Foundation helped arrange the Verizon Foundation's participation at the 15th Annual Caribbean Multinational Business Conference ("the Conference") in 2006; he also accompanied Representative 1 of the Verizon Foundation to the event.

4. Representative 2 of the Verizon Foundation reviews repeat grant requests for the Foundation. When asked how the Carib News Foundation request came to his desk he stated that it was a result of conversations with Karl Rodney and Representative 1 of the Verizon Foundation. He was not sure which conversation occurred first. Representative 1 of the Verizon Foundation was invited to speak at the Conference and either simultaneously or immediately after Representative 1 of the Verizon Foundation received the invitation, Representative 2 of the Verizon Foundation spoke with Mr. Rodney.

5. Representative 2 of the Verizon Foundation believes that he spoke with Mr. Rodney in person at a meeting for the Foundation for the University of the West Indies. Mr. Rodney inquired about the application for the grant for the Conference. Representative 2 of the Verizon Foundation recalled Mr. Rodney stating that he had spoke with Representative 1 of the Verizon Foundation and that he believed the Conference would be a good fit for the Foundation and would provide a good opportunity to communicate the Foundation's program Thinkfinity.

6. The Verizon Foundation also supports the Foundation for the University of the West Indies. Representative 2 of the Verizon Foundation has interacted with Mr. Rodney regarding the Foundation for the University of the West Indies.

7. Representative 2 of the Verizon Foundation also had previous interactions with Mr. Rodney at dinner and business meetings related the American Fund and to the publication of articles on the Foundation's Thinkfinity program.

8. Representative 2 of the Verizon Foundation will have been with the Foundation 3 years in October.
9. Representative 2 of the Verizon Foundation believes he began talking with Mr. Rodney about the Conference sometime in the summer. He spoke with Mr. Rodney about the grant application. He described to Mr. Rodney the cyber grant process and explained what needed to be provided in the grant application. The system requires applicants to be 501(c)(3) entities.

10. The head of Governance and Compliance for Verizon verifies whether applicant is a registered 501(c)(3). A grant request from a non 501(c)(3) would be removed from the system; the request would not be forwarded to Representative 2 of the Verizon Foundation. The Foundation’s grant approval process is formal. Representative 2 of the Verizon Foundation stated that he could show a specific interest in a proposal but could not give any type of commitment to an applicant.

11. Mr. Rodney would be required to provide a deck of the “07 conference, a description of the purpose of the conference and a tentative agenda for the cyber application.

12. Representative 2 of the Verizon Foundation spoke with Mr. Rodney approximately 8-10 weeks prior to the conference at which time they discussed the level of sponsorship the Foundation was interested in funding.

13. Mr. Rodney described 3 levels of sponsorship to Representative 2 of the Verizon Foundation. Representative 2 of the Verizon Foundation stated that this was typical of corporate sponsorships at other conferences.

14. Mr. Rodney offered the Foundation a $50,000 sponsorship, which was the gold level. Representative 2 of the Verizon Foundation believes there was also a platinum level at $75,000. He believes that Mr. Rodney showed him a 2007 deck with 3 levels (platinum at $75,000, gold at $50,000; and silver at $25,000) prior to a scheduled interview of Representative 1 of the Verizon Foundation.

15. Representative 2 of the Verizon Foundation explained to Mr. Rodney that the Foundation wished to negotiate a level of funding other than what was being offered. The amount of $35,000 was decided upon by the Foundation.

16. When asked what the Foundation would receive for its funding, Representative 2 of the Verizon Foundation stated that they would receive signage but that the Foundation was not specifically interested in a “quid pro quo” reciprocation, the Foundation merely wanted to disseminate information about its Thinkfinity program. Representative 2 of the Verizon Foundation stated that the Foundation does not do business in the Caribbean.
17. Representative 2 of the Verizon Foundation stated that Representative 1 of the Verizon Foundation made an introductory speech but that he was not sure whether the speech was included in the Foundation’s sponsorship level; the speech was not pre-set in the 2007 sponsorship deck.

18. Representative 2 of the Verizon Foundation spoke with Mr. Rodney approximately once a week for 6-7 weeks prior to the conference to discuss Verizon’s participation/logistical capacity for webcasts at the conference – contact included phone calls and emails. Contact increased as conference approached.

19. When asked how Verizon decided on $35,000 sponsorship, Representative 2 of the Verizon Foundation stated that he received a call from the Carib staff regarding the conference. The Foundation was asked to sponsor at the $50,000 level, a $35,000 counter-offer was made to Mr. Rodney, which he accepted.

20. Conversations regarding sponsorship levels began about 8-10 weeks prior to the conference with the final dollar figure being determined approximately 2 weeks prior to the conference.

21. Representative 2 of the Verizon Foundation spoke with Patricia with Carib regarding sponsorship, she thought the Foundation was sponsoring at the $50,000, Representative 2 of the Verizon Foundation explained that the amount was $35,000. When asked if Karl Rodney was upset with the sponsorship level, Representative 2 of the Verizon Foundation answered that he was not upset.

22. Representative 2 of the Verizon Foundation worked on the conference before Carib submitted application for funding which he stated was not unusual.

23. Representative 2 of the Verizon Foundation stated that he saw early drafts of the agenda prior to the conference, and then saw final draft at conference.

24. An early draft was shared with him in order for him to staff and notify Representative 1 of the Verizon Foundation of his speaking times.

25. He did not recall seeing any affiliation information on the early draft, he believes affiliations might have appeared on final draft. He did ask that any information be included on final draft after reviewing the earlier version.

26. Representative 2 of the Verizon Foundation prepared 2 versions of the Foundation’s role at the conference.
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27. The topics for the conference were decided through dialog between himself and Karl Rodney with some prior comments from Representative 1 of the Verizon Foundation. Mr. Rodney was aware of the Thinkfinity program. Representative 2 of the Verizon Foundation suggested web casts.

28. Representative 2 of the Verizon Foundation thought that Representative 1 of the Verizon Foundation and Mr. Rodney framed the Foundation's participation at the conference.

29. Town Hall event was Mr. Rodney's idea.

30. Representative 2 of the Verizon Foundation believes that Mr. Rodney was trying to bring together various corporate interests to create a dialogue about social and economic issues that would benefit both the Caribbean and the U.S.

31. Representative 2 of the Verizon Foundation stated that Carib News Foundation was the only charitable entity that he was aware of, it was the listed entity in the grant application.

32. The question arose as to who sponsored conference, Representative 2 of the Verizon Foundation stated that he was aware that Carib News was a for-profit entity, so he asked who was the sponsor. If the sponsor was Carib News, the Foundation could not participate as a sponsor.

33. Representative 2 of the Verizon Foundation stated that he did not see the check that went to the Conference, it would have been generated and sent through the internal system.

34. Representative 2 of the Verizon Foundation did not recall seeing the name Carib News Charities Inc.

35. Representative 2 of the Verizon Foundation saw an early draft of the grant application but does not recall seeing the final version. He was not responsible for final approval.

36. Kathy Browne, Senior VP for Corporate Responsibility would have approved the grant.

37. Representative 2 of the Verizon Foundation spent 2.5 days at the conference, he arrived on Thursday evening, participated at the conference on Friday and departed on Sunday.

38. Representative 2 of the Verizon Foundation and Representative 1 of the Verizon Foundation participated in the welcome remarks on Friday morning, the plenary session, and in a roundtable meeting with educational miniatures.

39. Mr. Rodney arranged these meetings, the webcast did not take place.
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40. Representative 2 of the Verizon Foundation did not attend the conference on Saturday or Sunday. He also left the hotel after the Foundation completed its presentations.

41. When asked about the Town Hall meeting, Representative 2 of the Verizon Foundation stated that Karl Rodney suggested that the Foundation speak about the Thinkfinity program, the opening remarks framework was also suggested by Mr. Rodney, Mr. Eve was to give introductory remarks and then Representative 2 of the Verizon Foundation was to speak.

42. There was a back and forth discussion about the plenary session between Representative 2 of the Verizon Foundation and Mr. Rodney to determine what role the Foundation would play in conjunction with the President of Medgar Evers College. The topic was technology supporting education.

43. There was no discussion regarding scheduling sessions to benefit US companies.

44. Representative 2 of the Verizon Foundation stated that he did not have any contact with Members of Congress other than a possible introductory handshake.

45. Representative 2 of the Verizon Foundation saw Representatives Kilpatrick, Rangel and the former head of the NAACP at the conference, along with other governmental officials from other countries. He also recalled seeing Delegate Christensen and Representative Payne. Representative 2 of the Verizon Foundation did not know Representative Thompson.

46. Representative 2 of the Verizon Foundation interacted with Mr. Rodney after the conference to discuss the American Fund and the University of the West Indies. He did not discuss the conference with Mr. Rodney.

47. Representative 2 of the Verizon Foundation believes that he may have received a thank you letter from Mr. Rodney for participating at the conference.

48. He did not see the contribution-sponsorship letter.

49. Representative 2 of the Verizon Foundation was aware of Mr. Rodney’s Foundation, and the fact that it sponsored the conference. He also believed Mr. Rodney’s Foundation performed social work for boys and girls club events and that it worked with the American Fund for the University of the West Indies. He was not sure why he felt that Rodney’s Foundation was involved with these other events.
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50. Representative 2 of the Verizon Foundation stated that the Foundation did not place any restrictions on the funding it provided to the conference through its grant, the use would have been specified in the grant application/guidelines.

Beth Horton
Investigative Counsel
EXHIBIT 13
April 08, 2008

Ms. Marilyn Johnson
VP Marketing Development
IBM Corporation
1135 Westchester Avenue
White Plains, NY 10604

Dear Ms. Johnson:

For the past twelve years, the annual Caribbean Multi-National Business Conference has been instrumental in encouraging investment, cross-border trade and business partnerships, the role played by executives of major corporations, medium and small-size businesses and entrepreneurs, and deepens the connections with key elected officials.

Your support and that of IBM went a long way to make the conference a success, and has fostered on-going growth in business achievements and important policy decisions. We appreciate very much the professionalism and enthusiasm you bring to the Conference with your keen participation. The presence and demonstration of real live "IBM Partner" as a result of the conference is a powerful testimony. We do get concrete results and expressed appreciation of new opportunities.

We can assure you that all the key stakeholders, Members of Congress, Heads and Ministers of Government, Elected Officials, Community and Business Leaders are all aware and appreciative of IBM's participation in this very important mission.

This year, the Thirteenth Annual Conference is scheduled to be held in St. Maarten, November 6-9, 2008, and promises to further strengthen and expand on the work done by many of the Caribbean countries developing economies, in collaboration with the emerging markets initiatives in the U.S. The quality of the sessions and the high level of participation is now legendary, and is eagerly awaited each year.

Enclosed is a Power Point presentation of the sponsorship opportunities the Conference provides, and also a program and recap of the 2006-2007 Conference. We know of your interest to deepen the IBM local, regional and global connection, and I know the Conference can achieve that.

It is our sincere wish that this presentation motivates your sponsorship.

We would be happy to answer any questions you might have or to fill in any detail. I can be reached by e-mail: [redacted]@wcarinews.com or (212) 944 [redacted].

Because we know of your busy schedule, I will also follow up with your office to ascertain interest level.

Thanks for your kind consideration.

Best regards,

Paye A. Rodney
President

Karl B. Rodney
Publisher/CEO
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EXHIBIT 14
May 15, 2009

MEMORANDUM

TO: Omar Ashmawy
FROM: Will Ris

RE: Materials related to Carib News Foundation Conference

At your request, I am faxing you the following documents:

1. The original letter of request for support from Carib News Foundation sent to American Airlines. I assume that they sent the identical letter to other airlines because in paragraph 3, they refer to “Continental” when it should be “American”. In any case, they requested a total of 95 tickets for this event. We responded orally and told them the maximum we could provide would be 10.

2. A listing of the 10 tickets that we provided. If you need more detailed records of each individual ticket, I am happy to provide it. But this shows the names and itineraries of all 10 travelers. We provided no other support for the conference except that our group sales office authorized a standard 5 percent discount on tickets for those travelling to the conference - this is universally available to any group of 10 or more travelling to the same location.

If there is anything else I can help you with, please let me know.
June 6, 2008

Mr. Will Rls
Senior Vice President
Government Affairs
American Airlines
1101 17th Street, Suite 600
Washington, DC 20036

Dear Mr. Rls:

For the past twelve years, the annual Caribbean Multi-National Business Conference has been instrumental in encouraging investment, cross-border trade and business partnerships, the role played by executives of major corporations, medium and small-size businesses and entrepreneurs, and deepens the connections with key elected officials.

This year, the Thirteenth Annual Conference is scheduled to be held in St. Maarten, November 6 – 9, 2008, and promises to further strengthen and expand on the work done by many of the Caribbean countries developing economies, in collaboration with the emerging markets initiatives in the U.S. The quality of the sessions and the high level of participation is now legendary, and is anxiously awaited each year.

Since Air Transportation is such a vital issue for the Caribbean Region, it is going to be one of the Agenda items in the travel & Tourism sector. Continental’s success is vital to the Caribbean region and the US role in world travel; we would expect significant input into any initiatives discussed.

We expect to have elected officials of the US and the Caribbean, Civic Leaders and Business persons who can influence policies and encourage worthwhile initiatives to be at the Conference. We would welcome American Airlines’ participation.

The Host Committee in the Caribbean Region and the Planning Committee in the US have all agreed to honor you with the Conference’s prestigious Marcus Garvey Bridge Builders Award. Should you agree to accept, we would ask Congressman Charles Rangel and Congresswoman Eddie Bernice Johnson to make the presentation to you.

We are open to our customary barter of tickets for sponsorship levels, and have enclosed a proposed arrangement guide similar to last year.

Organized by Carib News Foundation. A non-profit project 501-C3 corporation
Enclosed is a Power Point presentation of the sponsorship opportunities the Conference provides, and also a program and recap of the 2006-2007 Conference. It is our sincere wish that this presentation motivates your sponsorship.

We would be happy to answer any questions you might have or to fill in any detail. I can be reached by e-mail: [redacted]@nycarthegov.com or (212) 944 [redacted].

Because we know of your busy schedule, I will also follow up with your office to ascertain interest level.

Thanks for your kind consideration.

Best regards,

Faye A. Rodney
President

Karl B. Rodney
Publisher/CEO
We are expecting about 20 Members of Congress or more who will be attending along with other Cote Leaders and VIP's. Again, we will position American Airlines as one of the main carriers to the Caribbean transporting the elected officials and celebrities. To help us move the process along we would like to propose the following, that American Airlines participate as a Gold Sponsor of the conference in consideration for which American Airlines would receive the following:

- American Airlines will be recognized as a main sponsor.
- American Airlines name and logo will be included on all printed material.
- American Airlines will be included in all radio and television promotions.
- American Airlines will be in all Internet promotions.
- American Airlines will be a designated sponsor of a main event and/or a workshop with speaking opportunities.
- American Airlines will receive prominent space for display or exhibition.
- American Airlines banners will be displayed in the main conference area.
- American Airlines can develop specific promotional materials.

In return for the above, American Airlines will provide Carib News with:

- Maximum of fifty (50) roundtrip coach class tickets from the 48 contiguous United States to Antigua. Reservations to be done by Carib News and ticketing to be by American Airlines.

- Maximum of thirty-five (35) first-class roundtrip tickets from the 48 contiguous United States to Antigua.

- Maximum of five (5) coach class tickets and five (5) first class tickets to be used for site inspection and conference planning prior to the conference.

- American Airlines will provide group fares for registered attendees. Fare and reservations & ticketing to be negotiated by American Airlines.

Site Inspection is part of the sponsorship package. We do plan to do site inspections in St. Maarten when we will officially announce the Conference and work out broad issues.
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House ID | Registrant Name | Client Name | Filing Year | Filing Period | Lobbying Full Name
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315720000 | EXCEPT VZW & ITS AFFILIATES, EXCEPT VERIZON WIRELESS | VERNON WIRELESS | 2007 | Mid-Year | Davidson, Peter B.
315720000 | EXCEPT VZW & ITS AFFILIATES, EXCEPT VERIZON WIRELESS | VERNON WIRELESS | 2007 | Year-End | Davidson, Peter B.
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332690000 | VERNON WIRELESS | VERNON WIRELESS | 2007 | Mid-Year | Brittingham, Donald
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09-6333 0152

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09-6333 0153

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BASIC REQUIREMENTS
TO HOST
CARIBBEAN MULTINATIONAL BUSINESS CONFERENCE

- Invitation to host conference to be issued by Prime Minister (Head of Government).
  This is to facilitate the attendance of several elected officials from the United States,
  United Kingdom and other countries.
- Prime Minister to be keynote speaker at one of the major events of the conference
  and participate in the closed-door session with attending elected officials.
- Local host committee to be organized with all interested ministers, agencies and
  associations. The chairman of this committee would be someone designated by the
  Prime Minister to coordinate all activities.
- To provide the care and comfort for the VIP's attending i.e.
  - To provide 25 all-inclusive rooms for the VIP's and members of Congress
    attending.
  - To provide appropriate mode of transportation for VIP's and members of
    Congress - cars or specialized vans – not buses.
- To be a designated sponsor in one of the categories - Title, Main or Regular Sponsor
  (See Attachment)
- To organize a “Host Country Evening” – The Friday evening, the host country will
  host at an appropriate location an evening of food, refreshments, cultural
  presentation and entertainment.
- Provide for local entertainment for the various functions –
  - The Opening Ceremonies
  - The Reception
  - The Gala Event
- To assist in Promotion and Publicity of the conference both locally and through
  International offices and official publications.
- Assist in securing competitive hotel rates.
- Equip and staff conference secretariat.
- Prime Minister to issue invitations along with CARIB NEWS to members of the US
  Congress, other Prime Ministers and Ministers of Government.
- Participate in the Forums with Members of Congress.
- Arrange tours and activities of interest for VIP’s and/or their spouses.
August 23, 2008

The Hon. Sarah A. Wescott-Williams
Leader of Government
Government Administration Building
Clem Labega Square, Philipsburg
St. Maarten, N.A.

Hon. Commissioner:

Plans are moving ahead for the Thirteenth Annual Caribbean Multi-national Business Conference, November 6-9 in your beautiful country. We have sent out invitations to several Members of Congress, Prime Ministers, Presidents and Premiers, to attend the Conference. A list of those invited is attached. Senator Hillary Clinton has expressed an interest and her invitation will be forwarded soon. Also see Congressman Rangel’s personal note of acceptance.

We wish for you now to send out your invitation to these individuals as previously discussed. A copy of past invitation letter is included. We will continue to do all the follow-up as planning and implementation as agreed to.

We are working on the draft of the program and will be sharing it with you and the Host Committee shortly. We would like to schedule our first Conference meeting by telephone with the Host Committee within the next 10 days, to start going over each area of the basic requirements list, and to develop some time-line and contact person for each area.

We need to know immediately who on the Host Committee will be handling press and publicity, we can start sending Press Releases and Press updates.

We will be sending regular updates.

Kindest Regards

Karl B. Rodney
Publisher/CEO

cc. Commissioner Roy Marin
Director of Tourism, Regina LaBega
Martha Cahn

Taking Our Rightful Place In The Sun
June 30, 2008

Commissioner Sarah Wescot-Williams
Leader of Government Business
Government Administration Building
Clare Labega Square
Philipsburg, St. Maarten, NA

Dear Commissioner Wescot-Williams:

Plans are coming in place for the Thirteenth Annual Caribbean Multi-national Business Conference scheduled for November 6-9 at your invitation to the beautiful country of St. Maarten.

We were very involved with the Conference on the Caribbean held in New York last week with some fifteen Heads of CARICOM Governments, which was a success, but took a large part of our time. All attention is now set for St. Maarten.

We have signed the contract with the Maho Resort and we are in conversation with many of our sponsors. Already we have some important names agreeing to come, including Congressman Charles Rangel and Governor of New York, David Paterson. We are mindful of the issues of interest to St. Maarten and so we have issued invitations to several Members of Congress, Heads of Education and Health institutions. A strong financial sector is expected; already GHBank and HSBC are on board.

There is very strong interest in the conference and all the information about the conference as St. Maarten is now on the website, in print and on radio. The promotion has begun in earnest.

We would now like to start liaison with the local host committee to coordinate our planning with yours. Could you be kind enough to please identify the committee and the contact person and other information. We would wish that the person would report to you directly or Commissioner Martin to expedite any matter.

Please find attached ideas for the theme and some areas of concentration from which we can develop the program. The Host Committee should use the basic requirement as the basis for their planning. We will send a matrix of some time line and arrange for our next planning visit.

2008 CARIBBEAN MULTI-NATIONAL BUSINESS CONFERENCE

THEMES

We are suggesting as possible themes, the following.
Please feel free to change, adjust or even new approaches.

CHANGING STRATEGIES TO EMBRACE NEW POSSIBILITIES - THE GLOBAL MARKET

MOVING BEYOND BARRIERS TO A STRATEGY FOR GLOBAL COMPETITIVENESS

CHANGING STRATEGIES, BUILDING ALLIANCES, FACING NEW REALITIES

A REGION IN TRANSITION - STRATEGY FOR CHANGE, ALLIANCE FOR PROGRESS

AREAS OF CONCENTRATION

We are also now shaping the presentations and the workshops and the areas of concentration are some of which were suggested by yourself and Commissioner Marlin.

1) TOURISM
   - Pre clearance
   - Unfunded mandate by the US
   - Investment in tourism
   - Health tourism
   - Regional cooperation

2) HEALTH
   - St. Maarten, ideal location for Regional Health Center
   - Delivery of health care
   - Lifestyle diseases - diabetes, hypertension, obesity
   - Health investment
   - Collaboration with US Institutions

3) EDUCATION
   - Collaboration with US Institutions
   - Curriculum development
   - Presentation of Thinkfinity - high tech tool for teaching
   - Initiative between the University of the West Indies and Medgar Evers College
To: Host Committee  
Caribbean Multi-National Business Conference  
cc: Bernard Hunt, Sonesta Maho Beach Resort

From: Karl B. Rodney  
CARIB NEWS

Date: October 15, 2008

SUBJECT: Town Hall Meetings

In the interest of organizing successful Town Hall Meetings, and to make program print deadline, we suggest the use of the space available at the Sonesta Maho for those meetings.

We think the participation of the local groups and individuals in these meetings are necessary and productive because of the subject matter. We would therefore urge a strong outreach media program and direct contact to interest groups to ensure success of the Forum.

Thursday 5:00 – 6:30pm : Healthy Eating and Living
Friday 4:30 – 6:00pm : Education – Sharing Working Solutions
Saturday 4:30 – 6:00 pm : Technology

There is a great line up and we may have some additional star power. Commissioner Sarah Westott-Williams also suggested she might have additional local speakers for these for a, and we welcome that.

Thanks for your kind cooperation.

Organized by CARIB News Foundation. A non-profit project 501-C3 corporation
February 8, 2008

Commissioner Sarah Wescot-Williams
Leader of Government Business
Government Administration Building
Clem Labega Square
Philipsburg, St. Maarten, NA

Dear Commissioner Wescot-Williams:

It is with great pleasure that I wish to inform you that the Planning Committee has selected St. Maarten to host the Thirteenth Annual Caribbean Multi-National Business Conference, November 6-9, 2008. There was great interest in St. Maarten because of your personal invitation issued in Antigua, and certainly all the other excellent facilities on the island.

We look forward to a great conference and with working with you and your team. We would wish that you appoint the Host Committee as soon as possible so that the real planning will start. We will be proposing some thematic approaches for your consideration, in order to get the right participants and targeted focus.

We have the proposal from the hotels and will be making that selection within the week, after which we can start the promotion. The SAVE THE DATE and VENUE will be going out to the Members of Congress shortly. We will develop a time line for the other activities.

We are proceeding with the plan and would appreciate the formal letter of invitation.

We are very excited about working with you and St. Maarten again, and we expect a great conference.

Congratulations, and thanks for your kind consideration.

Very Truly Yours,

Faye A. Rodney
President

Karl B. Rodney
Publisher/CEO

cc: Marla Chemont, Marketing Assistant

Organized by Carib News Foundation. A non-profit project 501-C3 corporation
January 23, 2008

Commissioner Sarah Weaco-Williams
Leader of Government Business
Government Administration Building
Clem Labega Square
Philipsburg, St. Maarten, NA

Dear Commissioner Weaco-Williams:

Thanks very much for inviting us to St. Maarten to explore the possibility of St. Maarten as the Host Venue for the Thirteenth Annual Caribbean Multi-National Business Conference, scheduled for November 6-9, 2008.

We had the pleasure of meeting with Commissioner Roy Mervin to discuss the conference, its mission and of course, St. Maarten's priorities to be addressed in the conference. Among the areas discussed were:

- The Passport issue and its impact on St. Maarten and the Caribbean
- The US Pre-clearance option and what are the possibilities
- Educational collaboration and in-state tuition consideration for students from St. Maarten
- A major women's initiative at the conference and targeting many large universities to hold meetings and conventions in St. Maarten
- The influence on impact of the Congressional delegation on the current constitutional negotiations with the Dutch Government, particularly where the Dutch Government has lobbied these Members on their special interests.
- An appealing or special role model to address the youth of St. Maarten
- To conduct community outreach programs involving the wider population in the areas of Health, Education and possibly Technology.

These are areas that we can establish direct linkages with elected officials, professional experts, corporate perspectives and certainly business opportunities.

We were reminded by Ludwig Cunsmcho the then President of the Chamber of Commerce, that it was in St. Maarten that the issue of increase of Duty Free Allowance was raised and was subsequently raised to twice the amount within six months, benefiting all the merchants not only in St. Maarten but the Caribbean.

Organized by Carth News Foundation. A non-profit project 501-C3 corporation
April 04, 2008

Ms. Marilyn Johnson
VP Marketing Development
IBM Corporation
1133 Westchester Avenue
White Plains, NY 10604

Dear Ms. Johnson,

For the past twelve years, the annual Caribbean Multi-National Business Conference has been instrumental in encouraging investment, cross-border trade and business partnerships, the role played by executives of major corporations, medium and small-size businesses and entrepreneurs, and deepens the connections with key elected officials.

Your support and that of IBM went a long way to make the conference a success, and has fostered on-going growth in business achievements and impactful policy decisions. We appreciate very much the professionalism and enthusiasm you bring to the Conference with your keen participation. The presence and demonstration of real live "IBM Partner" as a result of the conference is a powerful testimony. We do get concrete results and expressed appreciation of new opportunities.

We can assure you that all the key stakeholders, Members of Congress, Heads and Ministers of Government, Elected Officials, Community and Business Leaders are all aware and appreciative of IBM's participation in this very important mission.

This year, the Thirteenth Annual Conference is scheduled to be held in St. Maarten, November 6 – 9, 2008, and promises to further strengthen and expand on the work done by many of the Caribbean countries developing economies, in collaboration with the emerging markets initiatives in the U.S. The quality of the sessions and the high level of participation is now legendary, and is anxiously awaited each year.

Enclosed is a Power Point presentation of the sponsorship opportunities the Conference provides, and also a program and recap of the 2006-2007 Conference. We know of your interest to deepen the IBM local, regional and global connection, and I know the Conference can achieve that. It is our sincere wish that this presentation motivates your sponsorship.

Organized by Carib News Foundation. A non-profit project 501-C3 Corporation

09-6333 0162
We would be happy to answer any questions you might have or to fill in any detail. I can be reached by e-mail [redacted] or (212) 944 [redacted].

Because we know of your busy schedule, I will also follow up with your office to ascertain interest level.

Thanks for your kind consideration.

Best regards,

Raye A. Rodney
President

Karl B. Rodney
Publisher/CEO
## Invoice

**Date:** 5/16/2008  
**Invoice #:** 45122

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Ms. Olson,

In response to your e-mail, the answer to your question is NO.

Regards and Thanks for your patience.

[signature]

From: [email] Date: [date]

To: [email]

Subject: RE: Card News - Pre-TRP Approval Issues

Ms. Louis,

Please explain in more detail your email message below relative to the "upcoming
costs contributors to the overall" expenses of the trip." In this regard, do the following entities pay
for any of the expenses of the trip for the invited Hatea M Nationals, including roundtrip air
transportation costs, lodging costs, meal costs, cost of a particular meal or reception,
etc.?

- Antigua Government
- Bank of [bank]
- Royal Caribbean Bakery
- CIB
- [telephone]
- [name]
- [name]
- [name]
- HRBC
- IBM

[signature]

Date: [date]
Susan L. Olson
Counsel
House Committee on Standards of Official Conduct
HT-2, The Capitol Building
Washington, DC 20515
Phone: 202-225-7103
Fax: 202-225-7392

In response to your e-mail:

The sponsors contribute to the overall expense of the trip and the general
work of the Foundation.
As a courtesy, each contributor is given an opportunity to be associated with
part of the program that is being presented. They do not determine the content of the other
participants in the
Conference.

Federally registered lobbyists or foreign agents will not be accompanying the
Members or
participating in the program.

Regards

Patrick Lewin
Executive Assistant
C Guarino
7 West 36th Street, 6th Floor
New York, NY 10001

From: Olson, Susan [mailto:olson.susan@mail.house.gov]
Sent: Wednesday, October 10, 2007 4:30 PM
To: [Confidential]

10/15/2007
09-6333 0168
CONFIDENTIAL

CN-000054
Subject: Carib News - Pre-trip Approval Issues

Dear Mrs. Louise,

With regard to the pre-trip approval requests for the Carib News Foundation's (Foundation) trip to Antigua, the issues involving sponsorship are as follows:

While the application form that you completed indicates that the Foundation is the sole sponsor of the 2007 trip, the draft schedule, however, indicates that the following entities are "underwriting" sessions, events, etc. during the trip:

- Antigua Government
- Balkis
- Royal Caribbean Cruises
- CII
- Pfizer
- Mary’s
- AT&T
- HSBC
- IBM
- Goodreads International
- Preferred Health Partners
- Antigua & Barbuda
- American Airlines
- Scalien Cruises

Last year the Foundation provided the following information regarding these "additional sponsors" for the November 9 to 12, 2006 trip:

"The Foundation, which is a 501(c)(3) nonprofit organization, will be paying for the Memibus' travel expenses including transportation, meals, and lodging. The background materials for the conference also indicate that the additional trip sponsors provide a "contribution to the overall pool of expenses in support of the [Foundation]" which is used to "underwrite the overall expenses of the conference" primarily for meal expenses. These materials further indicate that these additional sponsors have representatives from their organization who will be attending and participating in the conference."

Accordingly, the Committee's Advisory Opinion, dated October 27, 2006, provided that all of the organizations that provided financial underwriting for the trip along with the Foundation were required to be listed as the "trip sponsors" on the participating Memibus' post-trip disclosure form and their 2006 annual financial disclosure statements.

Accordingly, you need to provide information describing the role of these "additional sponsors" as listed in the 2007 trip draft schedule for this current trip. Without such information, I cannot proceed with the review of the pre-trip approval requests for the Foundation's Antigua trip.

Best regards,

[Signature]

10/15/2007

CONFIDENTIAL

09-6333 0169

CN-006555
Susan L. Olson
Counsel
House Committee on Standards of Official Conduct
HT-2, The Capitol Building
Washington, DC 20515
Phone: 202-225-7103
Fax: 202-225-7392
Mr. Osborne,

In reference to your e-mail, the Conference is paid for by CARIB NEWS FOUNDATION.

The companies are participants. They are not sponsors or co-sponsors for any part of the trip and play no role in the planning or execution.

The program has been amended to reflect the companies as Participants.

I regret the misunderstanding and thank you for your patience as I go through and resolve through this process, which is new to me.

I look forward to hearing from you.

Regards

09-6333 0171
Registration

From: Kelly Mobley, Dawn [Dawn.KellyMobley@britf.house.gov]
Sent: Friday, October 19, 2007 1:05 PM
To: [Redacted]
Subject: RE: confidential

The fax did not come through. You'll be sleeping out at this valley for the remainder of the day, but will be in early Monday. Please look up again with Susan. I have explained that the organizations you intend to co-sponsor are not. They report your (and Susan's) request, but have not and will not pay for the (member) trip. This is simply a word for word of the terms "spokesperson," "co-organizer," and "participate" as used in the Ethics Committee Bill. Attorney must review and approve as well. Your Staff Attorney is Susan.

From Kelly Mobley, Dawn
Sent: Friday, October 12, 2007 11:16 AM
To: [Redacted]
Subject: RE: confidential

Have you spoken with your Director and explained the problem so you can ask Dixon to sign?

From: Kelly Mobley, Dawn
Sent: Friday, October 12, 2007 9:56 AM
To: [Redacted]
Subject: [Redacted]

Please read both emails below. Give Dixon a call as soon as you work through the HR, let her know you are following up. Please make yourself available to work through this matter today. Thank you Patrice. (These other organizations are not involved in this project but should not help pay for the trip).

From: Dixon, Susan
Sent: Friday, October 12, 2007 9:56 AM
To: [Redacted]
Subject: [Redacted]

Bill and Dawn,

Please note the following response from Ms. Louise at Carls News. Unfortunately, it appears that if each sponsor contributes funding directly to the trip (as earmark of funds) and not simply to the general fund of Carls News, then the assumption is that all of these entities are co-sponsors of the trip for purposes of the House travel rules. If that is the case and since it is likely that at least one of these co-sponsors will or should be a federally registered lobbyist, the trip could only be a one-day event trip. Thus the Committee can't approve the trip as it currently exists.

But, if you have a different interpretation of the below information from Ms. Louise, please do let us know.

[Redacted]

09-6333 0172

CONFIDENTIAL

CN-000058
I received your e-mail. Thank you, Susan.

Susan L. Olson
Counsel
House Committee on Standards of Official Conduct
HT-2, The Capitol Building
Washington, DC 20515
Phone: 202-225-7103
Fax: 202-225-7392

From: susan.olson@larrywilmes.com
Sent: Thursday, October 11, 2007 11:38 AM
To: Olsen, Susan
Subject: Re: Carib Now - pre-trip approval issue

Ms. Olsen,

In response to your e-mail:

The sponsors contribute to the overall expense of the trip and the general work of the Foundation. As a courtesy, each contributor is given an opportunity to be attached to a part of the program that is being presented. They do not determine the content or the other participants in the conference.

No federally registered lobbyist or foreign agent will be accompanying the Members or participating in the program.

Regards

---

Patricia Lewis
Executive Assistant
CABIN NEWS
7 West 36th Street, 15th Floor
New York, NY 10018

-----Original Message-----
From: Olsen, Susan (susanna.olson@larrywilmes.com)
Sent: Tuesday, October 9, 2007 4:21 PM
To: susan.olson@larrywilmes.com
Cc: lmarc.shally@larrywilmes.com, omonde@wilmes.com
Subject: Carsb Now - Pre-Trip Approval issue

Dear Mr. Louis:

With regard to the pre-trip approval requests for the Carib Now Foundation's

10/12/2007

09-6333 0173

CONFIDENTIAL

CN-000069
While the sponsor form that you completed indicates that the Foundation is the sole sponsor of the 2007 trip, the draft schedule, however, indicates that the following entities are "sponsoring" sessions, events, etc., during this trip:

- Antigua Government
- Sandals
- Royal Caribbean Balmy Bay
- GNO
- Pfizer
- Macy's
- AT&T
- IBM
- Goodwin & Company
- Preferred Health Partners
- Antigua & Barbuda
- American Airlines
- Goldberg Knust

Last year the Foundation provided the following information regarding their "additional sponsors" for the November 8 to 12, 2006 trip:

The Foundation, which is a 501(c)(3) nonprofit organization, will be paying for the Members' travel expenses including transportation, meals, and lodging. The background materials for the Conference also indicate that the Foundation is a "gift sponsor." The "gift sponsor" is used to "underwrite the overall expenses of the Conference," primarily for meal expenses. These materials further provide that these additional sponsors have representatives from their organization who will be attending and participating in the Conference.

Accordingly, the Committee's Advisory Opinion, dated October 27, 2006, provided that all of the organizations that provided financial underwriting for the trip, along with the Foundation, were required to be listed as the "trip sponsors" on the participating Members' post-travel disclosure form and that their 2006 annual financial disclosure statements.

Accordingly, you need to provide information describing the role of these "additional sponsors" as listed in the 2007 trip draft schedule for this current trip. Without such information, I cannot proceed with the review of the pre-trip approval requests for the Foundation's Antigua trip.

Susan L. Olson
Counsel
House Committee on Standards of Official Conduct

10/12/2007

09-6333 0174

CONFIDENTIAL

CN-000060
Further to our conversations of this morning, following is the 'Travel Certification Form'.

The Conference is paid for by the Carib News Foundation. The expenses are
paid by this organization or co-sponsors for any part of the trip and do not
in any way reflect the planning or control.

The pro forma has been amended to reflect the companies as Participants.

I expect the mix-understanding and thank you for holding my hand as I go through
and grow through this process which is new to me.

Kindly review and advise before I send to Ms. Olsan.

I look forward to hearing from you.
Registration

From: Thomas, Shelby [Shelby1Thomaz@mail.house.gov]
Sent: Monday, October 11, 2007 7:52 PM
To: plunk
Subject: RE: Card News - Pre-trip Approval Issues

This is the only chance we never had to go through this before. I don't have an answer and I already turned in Donnis's notes.

From: plunk [mailto:plunk@beginning.com]
Sent: Wednesday, October 03, 2007 3:39 PM
To: Shelby Holmes, Donna; Thomas, Shelby; Holmes, George;
Subject: RE: Card News - Pre-trip Approval Issues

Please see e-mail I received from Ms. Olson of the Committee on Standards of Official Conduct.

A possible response could be:

The sponsors contribute to the overall expense of the work of the Foundation. As a courtesy, each opportunity to be attached to a part of the program that they do not determine the content or the other

Regard and Thank you

Patricia Espada
Executive Assistant
CARD NEWS
2 West 26th Street, 6th Floor
New York, NY 10010

Original Message:

From: Olson, Susan [mailto: Olson@milhouse.gov]
Sent: Tuesday, October 9, 2007 4:31 PM
To: Shelby Holm@milhouse.gov
Cc: Shelby Holmes@milhouse.gov; Donna; Thomas, Shelby;
Subject: Card News - Pre-trip Approval Issues

Dear Mrs. Louise:

With regard to the pre-trip approval requests for the CARDS News Foundation's (Foundation) trip to Antigua, the issues involving sponsorship are as follows:

While the sponsor form that you completed indicates that the Foundation is the sole sponsor of the 2007 trip, the draft schedule, however, indicates that the following entities are "co-sponsors":

CONFIDENTIAL

09-6333 0177

CN-000083
sessions, events, etc. during this trip:
- Antigua Government
- Sandals
- Royal Caribbean Balavery
- CIIT
- Pfizer
- Macy's
- AT&T
- HSBC
- IBM
- Goodworks International
- Preferred Health Partners
- Antigua & Barbuda
- American Airlines
- Golden Krust

The Foundation provided the following information regarding these "additional sponsors" for the November 6-9, 2006 trip:

The Foundation, which is a 501(c)(3) nonprofit organization, will be paying for the Members' travel expenses including transportation, meals, and lodging. The background materials for the Conference also indicate that the additional trip sponsors provide a "contribution to the overall pool of expenses in contribution to the Foundation," which is used to "underwrite the overall expenses of the Conference," primarily for meal expenses. These materials further provide that these additional sponsors have representatives from their organization who will be attending and participating in the Conference.

Accordingly, the Committee's Advisory Opinion, dated October 27, 2006, provided that all of the organizations that provided financial underwriting for the trip along with the Foundation were required to be listed as the "trip sponsors" on the participating Members' post-travel disclosure form and their 2006 annual financial disclosure statement.

Accordingly, you need to provide information describing the role of these "additional sponsors" as listed in the 2007 trip draft schedule for this current trip. Without such information, I cannot proceed with the review of the pre-trip approval requests for the Foundation's Antigua trip.

Susan L. Dixon
Counsel
House Committee on Standards of Official Conduct
HT-2, The Capitol Building
Washington, DC 20515
Phone: 202-225-7103
Fax 202-225-7392

09-6333 0178

CONFIDENTIAL
Registration

From: [Redacted]
To: [Redacted]
Subject: Pre-trip Approval Issues

Dear [Redacted],

In your request for a sponsor, please consider the following:

1. A sponsor can be one of the following: a) the trip organizer, b) the traveler, c) any other registered traveler.
2. A sponsor can be one of the following: a) the trip organizer, b) the traveler, c) any other registered traveler.
3. A sponsor can be one of the following: a) the trip organizer, b) the traveler, c) any other registered traveler.
4. A sponsor can be one of the following: a) the trip organizer, b) the traveler, c) any other registered traveler.

Please provide the necessary information for the sponsor to be approved.

Best regards,

[Redacted]

A possible segment could be:

The sponsor contributes to the overall success of the trip and the overall

[Redacted]
Dear Mr. Louis,

With regard to the guest trip arrangements for the OrthoNexx-Predimed (Spanish) trip to Antigua, the list of participating organizations has been as follows:

While the Spanish Friends of the Foundation have expressed interest in the 2007 trip, the heights of the hotel, however, indicates that the following entities are "sponsoring" the trip, including the following:

- OrthoNexx
- Predimed
- Boehringer Ingelheim
- DHL
- P&G
- Merck
- ALXJEH
- PHC
- IIM
- Goodworks International
- National Heart Patients
- Antigas & Noticias
- American Arthritis
- Golden Krust

Last year the Foundation provided the following information regarding their "additional sponsors" for the November 9 to 13, 2005 trip:

The Foundation, which is a 501(c)(3) nonprofit organization, will be paying for the Mentors' travel expenses including transportation, meals, and lodging. The numbers needed for the Conference also indicate that the additional sponsors are "sponsorships" the overall expenses of the Conference's primary funding source. These numbers also reflect the number of representatives from other organizations who will be attending and participating in the Conference.

Accordingly, the Conference's Advisory Council, dated October 27, 2006, provided that all of the organizations that provided support along with their participation were reflected in the "trip sponsor" or the participating Mentors' post-trip disclosures from their 2006 annual financial disclosures statements.

10/10/2007
09-6333 0180
CONFIDENTIAL CN-000058
Accordingly, you need to provide information describing the role of these "additional persons" as listed in the 2007 trip draft schedule for that exempt trip. Without such information, I cannot proceed with the review of the pre-trip approval request for this participant'sAssignment trip.

Susan C. Olson
General
House Committee on Standards of Official Conduct
HCO, The Capitol Building
Washington, DC 20515
Phone: 202-226-4105
Fax: 202-226-1863

10/10/2007

CONFIDENTIAL

09-6333 0181

CN-00067
Subject: 110th时节 change page

To the NGO Members who indicated a "yes" on "status" in attending the 
CENTRO Interior Design Conference in Denver, British Bank 
Members on November 6-11 of 2007, I have attached the who will for the 
individuals that want to be submitted by members not later than TUESDAY, 
submit now to the ethics Committee. I will be bringing copies of the 
agenda, as well as copies of the visitors that need to be 
coordinated and arranged in advance, so all of the officials indicated above, 
to be prepared and attended by whom. If anyone has any questions, please call us 
at 5:45PM. VERSUS how they believe how their officials function, 
as we are coming to another country.

The message is ready to be sent with the following file to lack 
attachments:

Shortcut to: http://www.house.gov/article/110th_change_page.htm

Note: To protect against computer viruses, e-mail programs may prevent 
opening or receiving certain types of file attachments. Check your 
e-mail security settings to determine how attachments are handled. 

Attachment is: 110th时节 change page (application/octet-stream)
New Travel Regulations, Forms, and Instructions (effective March 1, 2007):

The House Rules for the 110th Congress changed the travel rules for Members, staff, and outside spouses. Regulations, forms, and instructions governing privately-sponsored travel being used after March 1, 2007 are available below. An Advisory Memorandum providing additional guidance regarding travel was released on March 15, 2007. New versions of the Memorandum to privately-sponsored travel were issued April 5, 2007.

- Travel Guidelines and Regulations
- Instructions and Request Form to be filled out by Private Sponsor
- Traveler Form to be filled out by Members, Officers, and Employees
- Post-Travel Expense Form for Members and Officers
- Post-Travel Disbursements Form for Employees

Please note: Both the Private Sponsor Certification and the Member/Offer/Employee Traveler Form must be filled with the Committees at the same time in order to process your request.

New Gift Rule Changes:

The House Rules for the 110th Congress stipulated House Rule 25, clause 5 (the "gift rule") with respect to the acceptance of gifts and travel. Some of the guidance on this website regarding gifts and travel may therefore no longer apply. On February 6, 2007, the Committee issued an advisory memorandum on the changes to the gift rule. On May 24, 2007, the House amended the gift rule exception allowing the acceptance of offers of free attendance at charity events. In view of the amendment, on June 14, 2007, the Committee issued a revised memorandum that incorporates the changes to the rule. Please contact Committee staff at 502-225-7103 with any questions.

Financial Interests under New Earned Rule

The House Rules for the 110th Congress changed the Code of Official Conduct regarding earnings. This provision requires that a Member, Delegate, or Resident Commissioner who requests an earmark or a limited bill of rights to provide certain information regarding his or her request and the purpose to the committee of jurisdiction. An Advisory Memorandum providing guidance in this matter was released on March 27, 2007.
Travel Approval Forms for Antigua Trip

Registration

From: Hillary Smith (hillary.smith@mail.house.gov)
Sent: Thursday, October 04, 2007 4:32 PM
To: [email protected]
Subject: Travel Approval Forms for Antigua Trip

Please,

Here is what I need:

12. Describe the role of each sponsor in organizing and conducting the trip. The answer should say something about how CQRB News organized, planned, pulled together the logistics list and chose the destination.

13. Describe the organizational involvement - it is the CQRB News Annual Conference.

The revised forms, along with the list of invitees, should be sent to each invitee to then send to the committee so that we do not receive the wrong forms than the Congressional offices. Let me know if you have any questions.

Hillary Smith
Committee on Standards of Official Conduct
HT-3, The Capitol
Washington, DC 20515
202-225-7103


CONFIDENTIAL

09-6333 0184

CN-000070
Registration

From: Kelly Molloy, Dawn [mailto:KellyMolloy@mail.house.gov]
To: [mailto]
Subject: RE: Please read query below

Ignore the last email (we are working to meet the 35-day submission. Just stand by as we can get back to you today; have it all resolved tomorrow, Monday is a holiday.

From: Kelly Molloy, Dawn
Sent: Wednesday, October 10, 2007 6:29 PM
To: [mailto]
Subject: RE: Please read query below

Thank you. We have assigned your review to Staff Attorney Diane O'Sullivan. Please reach her by phone at 202225-3200 next week if she has not reached out to you. This will need a few days of review. Thank you very much.

From: pluto [mailto:pluto@pluto.com]
Sent: Monday, October 01, 2007 4:48 PM
To: Kelly Molloy, Dawn
Subject: RE: Please read query below

The conference dates are November 8-15, 2007; and opens on Thursday, November 8 and ends the morning of November 11, 2007. (3 nights)

CARIB NEWS FOUNDATION is the SPONSOR of the event.

Item No. 12: The companies like Pfizer, AT&T are donor contributors of grants to the Foundation for educational purposes and NOT the SPONSOR, consequently I assume the information contained in that Item will have to be changed.

Awaiting your advice.

Regards

Patricia Leigh
Executive Assistant
CARIB NEWS
7 West 32nd Street, 8th Floor
New York, NY 10001

Onondaga Mountain

From: Kelly Molloy, Dawn [mailto:KellyMolloy@mail.house.gov]
Sent: Monday, October 01, 2007 5:10 PM

10/1/2007

09-6333 0185

CONFIDENTIAL

CN-0000071
Registration

From: pixel [Redacted] pixel@marriott.com
Sent: Monday, October 01, 2007 3:40 PM
To: Kelly Mobley, Dawn
Subject: RE: Please send query below

The Conference dates are November 8-11, 2007, and opens on Thursday November 8 end at 1:00 p.m. of November 11, 2007. (3 nights)

CARIB NEWS FOUNDATION is the Sponsor of the event.

Item No. 12: The companies like Piflo, AT&T are donors/contributors of grants to the Foundation for educational purposes and NOT the SPONSOR, consequently I assume the information contained in the item will have to be changed.

Awaiting your advice.

Regards

Patrice Louis
Entertainment Associate
CARIB NEWS
7 West 20th Street, 6th Floor
New York, NY 10011
---Original Message---
From: Kelly Mobley, Dawn [Redacted]
Sent: Monday, October 01, 2007 3:11 PM
To: pixel
Subject: RE: Please read query below

From: Kelly Mobley, Dawn
Sent: Monday, October 01, 2007 3:10 PM
To: pixel
Subject: RE: Query

We are trying to work through a problem in approving the co-sponsors places. Are they each paying for a one-day, wildly attended event or more days? Please read the bill below. I forwarded your response.

From: Kelly Mobley, Dawn
Sent: Tuesday, September 25, 2007 12:42 PM
To: pixel

10/1/2007

09-6333 0186
CONFIDENTIAL

CN-000072
Please forward the paperwork as well as the Chiefwoman's personal office so her scheduler can complete the work from that office. Please get it to Lalla Ding today. Her fax number is 202-225-5126. She likes to complete the Masterlist forms and meet the same deadlines.

Please place [mailto: lyndenbenanu.com],

doesn't Monday, October 1, 2007 6:00 PM

to July Hasty, down

Subject: HT: Please read query below

The conference dates are November 8-11, 2007, and open on Thursday November 8 and end the morning of November 11, 2007. (3 nights)

CARIB NEWS FOUNDATION is the Sponsor of the event.

Item No. 12: The companies, like Pfizer, AT&T are donors/contributors of grants to the Foundation for educational purposes and NOT the SPONSOR, consequently I assume the information contained in that item will have to be changed.

Awaiting your advice.

Réards

Patricia Lucia
Executive Assistant
500 3rd Street 8th Floor
New York, NY 10016

Subject: HT: Please read query below

Date: Mon, October 1, 2007 5:00 PM

To: [mailto: July Hasty, down

CC: [mailto: July Hasty, down

Subject: HT: Please read query below

09-0333 0187

CONFIDENTIAL

CN-000073
Registration

From: Kelly Mobley, Dawn
Sent: Monday, October 01, 2007 6:10 PM
To: Plastics
Subject: RE: Please read query below

We are trying to work through a problem for agreeing the co-sponsor place. Are they each paying for a one-day, which willl result in non-congruent? Please read the SRF Rules I forwarded you on this matter.

From: Kelly Mobley, Dawn
Sent: Tuesday, September 25, 2007 3:06 PM
To: "plastics"
Subject: Query

[query content]

From: Kelly Mobley, Dawn
Sent: Tuesday, September 25, 2007 12:17 PM
To: "plastics"
Subject: Query

[query content]

From: Kelly Mobley, Dawn
Sent: Tuesday, September 18, 2007 3:26 PM
To: "plastics"
Subject: RE: Draft Program - 2007 Business Conference (No agenda or program attached)

When you send the draft agenda, please also forward any information on your sponsor’s status. If the event is a luncheon, do you need a copy of the new travel rates?

From: Kelly Mobley, Dawn
Sent: Monday, September 17, 2007 9:07 AM
To: "plastics"
Subject: RE: Draft Program - 2007 Business Conference

Nothing was attached to this email. Therefore, we have not received the proposed agenda you mention below and have nothing to provide.

From: [email_address]
Sent: Monday, September 17, 2007 3:43 PM
To: Kelly Mobley, Dawn
Subject: Draft Program - 2007 Business Conference

Ms. Mobley,

We spoke earlier re permission for Members to attend the Conference and you asked for

09-6333 0188

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CN-NNN0174
I have just gotten back to you because we have been working on getting the program together. Attached is the draft for your guidance.

Regards and Thanks.

Patricia Lewis
Eliza (Copy-Asst.)
GARIB A209B
7 West 30th Street, 9th Floor
New York, NY 10016
PAQUEMIL DE TRANSMISSÃO SERTÃO

TO: Davia Kelly Melby FROM: Patricia Lewis

DATE: 09-8333 0180

TOTAL NO. OF PAGES ENGAGING CONVERSATION: 2

This is a completed form for your advice/review/comments.

Regards

[Signature]
U.S. House of Representatives
Committee on Standards of Official Conduct

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM
(provide directly to each House Inmate)

This form should be completed by private entities offering to provide travel or reimbursement for travel to House Inmates, officers or employees while Service Members, Class 2. A completed copy of the form (and any attachments) should be provided to each House Inmate, officer or employee, who will then forward it to the Committee. The form should be filed with the form directly to the Committee.

Private sponsors are required to submit the form to each House Inmate at least 30 days before travel is scheduled to begin. The Inmate is required to submit the form to the Committee at least 30 days before travel is scheduled to begin.

1. Sponsor (the entity who will be paying for the trip):

2. I represent that the trip will not be financed (in whole or in part) by a federally registered lobbyist or a registered foreign agent (as defined by the Foreign Agent Registration Act):

3. I represent that the trip is not accepted consideration for a gift, favor, or any other service or benefit provided directly or indirectly to influence any aspect of the trip (as defined by the Travel Act):

4. Is travel being offered to an incorporated or unincorporated entity of the House Inmate? Yes ☐ No ☐

5. Provide names and titles of all House Inmates for which you have been notified, provide explanation of why the individual was notified (include additional pages if necessary):

6. Date of Visit:

7. City of Departure - Destination - Itinerary:

8. Attached is a detailed report of the activities taking place during the travel (i.e., a hourly description of planned activities) signed “I certify that” by the sponsor:

9. I represent that each item of the following:

   a. The sponsor of the trip is a registered lobbyist or registered foreign agent:

10. If travel is to be post-employment, on a city council or a state council, and the trip was approved by the Ethics Committee, please indicate why the cost of travel was warranted:

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09-6333 0191
CN-000077
15. I warrant that the expenses listed in (below) the travel during the trip will be unrelated to personal or institutional activities of the University. (Specify Item by checking box) □

16. I warrant that neither (check one of the following):

x The trip involved a trip that is arranged or organized without regard to institutional participation and that
x The trip involved events that are not part of the institutional program and without regard to institutional participation:

x To believe, within the cost of each individual trip, the cost of meals, transportation, and lodging may be provided:

17. Taxation for the duration of the event or trip: A current country that has not previously been to the country.

18. Name of hotel or other lodging facility: Location (state) (city)

19. Cost per night of hotel or other lodging facility: $100.00

20. For the purposes of this or other lodging facilities, the appropriate hotel or other lodging facility:

CONFIDENTIAL

09-6333 0192

CN-000078
21. **TOTAL EXPENSES FOR EACH PARTICIPANT**

<table>
<thead>
<tr>
<th>Itemized expense</th>
<th>Total Transportation Expenses per Participant</th>
<th>Total Lodging Expenses per Participant</th>
<th>Total Meal Expenses per Participant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal travel</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hotels, meals,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other expenses</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Itemized expense</th>
<th>Total Transportation Expenses per Participant</th>
<th>Total Lodging Expenses per Participant</th>
<th>Total Meal Expenses per Participant</th>
</tr>
</thead>
<tbody>
<tr>
<td>For each attendee</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Family member</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

22. I guarantee that the information being submitted for reimbursement travel expenses for the trip, such as hotel and room information, travel costs, transportation fees, and other expenses will be the actual costs incurred and necessary for the purpose of the trip (sign by an individual).

23. I hereby certify that the information submitted in this form is true, complete, and correct to the best of my knowledge.

Signature: ____________________________

Date: ________________________________

24. I authorize the Committee to contact the above individuals for additional information as required.

I hereby certify that the information submitted herein is true, complete, and correct to the best of my knowledge.

Signature: ____________________________

Date: ________________________________

25. Additional questions regarding this form may be directed to the Committee at the following address:

- Committee on Standards of Official Conduct
- 2200, 1320 L Street, NW
- Washington, DC 20439
- (202) 225-7000 (general info)
- (202) 225-7302 (press info)
- (202) 225-7312 (for travel arrangements)

Version 3.0079 by Committee on Standards of Official Conduct
INSTRUCTIONS FOR FILLING OUT THE PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

1. Sponsor(s) who will be paying for the trip: Fill in the names of such persons, organization, or other entity contributing funds or in-kind support towards the trip.

2. I represent that the trip will not be financed (in whole or in part) by a federally-registered lobbyist or a registered foreign agent. House Members and staff may not accept travel funded by a lobbyist or registered foreign agent, even when the lobbyist or foreign agent will be reimbursed by aclient or employer.

3. I represent that the trip sponsor(s) has not accepted any other source funds earmarked directly or indirectly to finance any aspect of the trip. All financial contributions to the trip must qualify as sponsored and should be listed as a quarterly in response to question 1.

4. Is travel being offered to an accompanying family member of the House member? Check yes or no. House Rules permit Members and House staff to accept travel benefits for one accompanying family member if offered by the trip sponsor.

5. Provide names and titles of all House Members for each invitee, provide explanation of why the individual was invited. You must list every House Member and employee who is invited on the trip, together with year written the invitation that individual. Members and House staff may accept privately sponsored travel only when related to the individual's official duties. The explanation should demonstrate a connection between the trip and each invited official’s duties.

6. Dates of Travel: State the dates of departure and return.

7. Cities of departure — destination — return. For example, an appropriate entry might read: "DC — Dayton — DC.

8. Itinerary: Provide a detailed agenda of the activities taking place during the travel. The agenda should be a detailed, day-by-day agenda. Include the names of speakers and the analysis of briefings. The agenda should also include information regarding the time spent on travel to and from the destination, as well as local travel.

The agenda will be approved if the agenda includes an adequate amount of briefings and/or opportunities for recreational activities, even if such activities are at the personal expense of the invitees.

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9. I represent that (check one of the following): Check only one box in response to this question. If "institution of higher education" generally includes accredited public and private colleges or trade schools located in the U.S. and its territories such entities should check box "a." Regardless of whether they employ or retain a federal lobbyist or foreign agent. Thus other than institutions of higher education that do not employ or retain a federal lobbyist or foreign agent should check box "b." Entities other than institutions of higher education that do employ or retain a registered lobbyist or foreign agent may appear listed only by one-day events. For such trips, lobbyist involvement must be "described" as defined by Committee regulations (see question 2).

10. If travel is for participation in a one-day event, check one of the following: Complete this question only if you checked box "c." In response to question 1, the travel is a one-day event sponsored by an entity that retires or employs a lobbyist, heading and results generally may be provided only for one night. However, this night may by authorized by the Committee in accordance with the rules set forth in Committee regulations.

11. If the trip is not sponsored by an institution of higher education, I represent that a politically-connected lobbyist or foreign agent will not accompany House members or employees on any segment of the trip. Incs non political Members and employees from being accompanied by registered lobbyists or foreign agents while traveling. This rule does not prohibit lobbyist or foreign agent participation in briefings or meetings that are specifically designated.

12. Private assistance must bear a direct and immediate relationship to the purpose of the trip or location being visited. Describe the role of each sponsor in organizing and conducting the trip. (The sponsor(s) are the entity or entities paying for the trip) should be the entity primarily responsible for organizing the trip. Travel may be accepted from an entity that has contributed money towards the travel and is not otherwise involved in planning or conducting the trip.

13. Describe each sponsor's organizational interests in the purpose of the trip. Briefly describe the interest of purpose of each sponsor in the trip.

14. Describe the type and class of transportation being provided. See directions on form.

15. I represent that the information related to legal travel during the trip will be unrelated to personal or recreational activities of the witness(s) when Members and staff may accept local transportation assistance in facilitating their participation or officially-related purposes of a trip. Members and staff may not accept local transportation in connection with recreation or personal.

16. I represent that neither the events that are sponsored or organized without regard to congressional participation (e.g., annual meetings of bodies of trade associations) Members or employees pay to support the events that are provided to all other attendees of a part of the event. For events not specifically for Members or staff, most expenses must be "described" in accordance with Committee regulations.
17. Reason for selecting the location of the event or trip: The destination of a trip must be related to its purpose. Travel to a location of an event organized without respect to congressional participation in the event (e.g., annual meetings of business or trade associations) is presumptively reimbursable.

18. Name of hotel or other lodging facility: Include the names of all hotels and lodging facilities to be used during the trip.

19. Cost per night of hotel or other lodging facility: Self-explanatory. Trip sponsors should not pay for a "package" that includes recreational or entertainment activities. However, Members and staff may generally use a pool or gym facilities that are offered free of charge to all hotel guests.

20. Reasoning for selecting hotel or other lodging facility: The event held without regard to congressional participation (e.g., annual meetings of business or trade associations), an event such as "location of annual trade association meeting" is sufficient. When the trip is held specifically for Members or staff, include rationale such as proximity to the site to be visited or to the airport.

21. Total Expenses for Each Participant: Indicate whether the figures provided are actual expenses of each participant or estimated figures based on the average cost. Include all expenses other than travel, transportation, lodging, and meals. Expenses must be individually itemized and specified.

22. Trip expenses other than travel expenses for the trip, such as travel to and from airports, security costs, transportation, fees, visa application fees, and similar expenses, will be for actual costs incurred and are necessary for the purpose of the trip. Members and staff may not accept a lump sum based on an estimate of incidental expenses.


The trip sponsor should provide a copy of the completed form, including all attachments, to each house member or employee invited on the trip.
U.S. House of Representatives
COMMITTEE ON OVERSIGHT AND
Government Reform
Washington, DC 20515

October 27, 2006

John Mitchell Bondy
Cuban National Foundation
2 West 39th Street, 10th Floor
New York, NY 10018

Dear Mr. Bondy:

This is in response to your letter regarding Committee guidance concerning the participation of House Members in the 21st Annual Cuban National Foundation Conference ("Conference") sponsored by the Cuban National Foundation ("Foundation"), and other organizations. The conference is scheduled to take place in Havana, Cuba, on September 9 to 12, 2006. According to your invitation, the Foundation, which is a 501(c)(3) nonprofit organization, will be paying for the Members' travel expenses including transportation, meals, and lodging. The Foundation also indicates that the additional trip expenses provide a "contribution to the Cuban people in support of existing arts programs." This is in addition to the overall expenses of the Conference generally for the meeting.

The Committee strongly recommends that Members decline to participate in this Conference because it meets the definition of a "treaty," as that term is defined in the Foreign Act of 1978. The Committee's interpretation of the term "treaty" includes any conference, meeting, or other activity that involves the discussion of what the Committee considers to be the granting or discussion of a concession to another nation or entity.

The Committee also notes that the additional trip expenses provide a "contribution to the Cuban people in support of existing arts programs." This is in addition to the overall expenses of the Conference generally for the meeting.

The Committee's position is that Members should not participate in this Conference because it meets the definition of a "treaty," as that term is defined in the Foreign Act of 1978. The Committee's interpretation of the term "treaty" includes any conference, meeting, or other activity that involves the discussion of what the Committee considers to be the granting or discussion of a concession to another nation or entity.

Sincerely,

[Signature]

[Seal]

[Date]

[Seal]

[Date]
Honesty and Accountability

Page 5

Mrs. Mildred Kennedy
October 27, 1959

Page 6

Honesty Rule 25, clause (the gift rule) permits a Member or employee of the House to accept from a private source (other than a registered lobbyist or agent of a foreign principal), necessary travel expenses in aid of a meeting, mission, legislative position, district trip, or other travel in connection with official duties, if the gift is not clearly and immediately associated with the receipt or location being visited. "Necessary" expenses (visiting) adequately express the intent of Members of the House to avoid gifts of entertainment, travel, food, and other unrelated expenses but they do not include expenditures for entertainment or personal activities.

Generally, any gifts that may be offered during the trip, including any gifts of entertainment or recreational activity, must be valued at a total of less than $100 for the trip, with the total gift limit of less than $100 from a single source. On any trip, the aggregate value of any such gifts that may be accepted from any source is less than $100.

In the case of professional travel, necessary expenses may be accepted for not more than seven days, excluding travel. House Members may also accept expenses to enable a family member to accompany them on the trip, if offered by the traveler. In addition, each Member who participates in the trip, including travel, must also follow the rules of the House with the Clerk of the House within 90 days after the conclusion of the House. Rule 25, cl. 29(b)(6)(D) (1955). The House has also required to report all travel expenses totaling more than $500 from a single source of Social Security V itself of the House. Members should notify the Trip Office of all the organizations that provided financial assistance for the trip.

Because the trip will involve meetings with foreign government representatives, the trip sponsor includes the Republic of Panama and Panama City, it is important to note that government officials, including members and employees of Congress, are prohibited by Article I, section 9, clause 8, of the United States Constitution from receiving "any present...of any kind whatever" from a foreign power to a representative of a foreign government without the consent of the House. In the Foreign Gifts and Contributions Act (U.S.C. § 7342) (PGEOA), Congress has authorized in advance to accept gifts from foreign governments. Gifts of travel or expenses for travel include such things as travel, lodging, transportation, and other related costs. The Office of the House has also established the acceptable value of "peripheral visits" to the United States for Members, officers, and employees of Congress. Those rules are intended to protect the House from gifts of $500 or more. The Foreign Gifts and Contributions Act (U.S.C. § 7342) (PGEOA) establishes an exception for gifts of $500 or more. The PGEOA also grants Members the right to accept gifts worth more than the minimum value when travel would cause duties or responsibilities and gifts are used for the benefit of the United States and must be disclosed to the Clerk of the House. Any gifts valued at $500 or more, unless from a foreign government, must be disclosed as a Petition for Foreign Powers. Gifts from Foreign Governments, in addition to the
Ms. Michele Rodway  
October 27, 2006  
Page 4

Thank you for your letter dated June 21, 2006. Copies of both letters are included in this package.  

Any House Member invited to travel to private meetings should be reimbursed to include the Committee’s Office of Affairs and Information at (202) 225-9715 if any questions on the applicable rules. Please provide a copy of this letter to each invited Member.

If you have any further questions, please contact the Committee’s Office of Affairs and Information at (202) 225-9715.

Sincerely,

Dow Helling  
Chairman

Howard R. Nowussi  
Ranking Minority Member

P.S. Please do
October 16, 2006

The Honorable Don Hastings
Chair
Standards of Official Conduct
Room 337-D, The Capitol
Washington, D.C. 20515

Via Fax: 202-225-7992 & 115 Mail

Dear Committee Chair Hastings:

As you might be aware, The Caribbean News Foundation, created to provide a forum for businesses from the United States to dialogue and establish business partnerships with communities in other parts of the world, has invited Members of Congress to participate in the 11th anniversary of the Caribbean Business Conference.

This year the conference will be held in Panama City, Panama, from November 9—13, 2006. In cooperation with the Government of Panama, our goal is to have all interested parties joining forces to foster an atmosphere of democracy, stability and opportunity for our fellow citizens of the world. It will also allow businesses in the United States to introduce their products to a new market, thus adding to the economy of both countries.

It is important for Members of Congress to attend in order to get insights into the global economy and how current law and proposed legislation can aid in assisting their constituents to move towards a global exchange.

To this effect, The Caribbean News Foundation and its Board of Directors, respectfully request approval for the Members to attend. If there are any questions or concerns, you may contact me at 212-944-8000. I look forward to making this event as successful in its 11th year as it has been in the past 10 conferences.

Sincerely,

Miltono Rodney
President
Caribbean News Foundation

cc: Congresswoman Stephanie Tubbs Jones

Organized by Caribbean News Foundation. A non-profit project 501-C3 corporation
Registration

From: [Name]@caribnewswire.com
Sent: Friday, September 21, 2007 1:58 PM
To: [Name].KellyMcPhersey@mail.house.gov
Subject: Re: Sponsorship Information

The official sponsor of the conference is the CARIB NEWS FOUNDATION, a not-for-profit 501(c)(3) organization that provides educational information about the Caribbean Region and its relationship with the United States, security, health, education, etc.

The CARIB NEWS FOUNDATION does not retain or employ a registered lobbyist or registered foreign agent.

Please use me as your contact for the purposes of this Conference.

The form will be e-mailed to you this afternoon.

Regards,

[Name]

Executive Assistant
CARIB NEWS
7 West 36th Street, 8th Floor
New York, NY 10018

09-0333 0201
CONFIDENTIAL

CN-000087
Registration

From: Kelly Mobley, DeSm [DeSm.KellyMobley@mlt.house.gov]
Sent: Wednesday, September 18, 2007 3:32 PM
To: [email protected]
Subject: Travel Information

My colleagues, do you have any travel information for this matter? If so, please advise. This is important to us, and we need to ensure that all necessary steps are taken as soon as possible. If you need further information, please reach out to me directly.

Best, 
Kelly Mobley
Registration

From:  Kelly Hobley, Dunn (Dunn.KellyHobley@waxhousedems.gov)
Sent: Wednesday, September 19, 2007 2:22 PM
To: Dunn
Subject: RE: Draft Program - 2007 Business Conference (no agenda or program attached)

Lastly, just want to alert the sponsor forms for review. The new rules might prohibit some things you were able to do with so many different sponsors in the past, but until we get the form, we can't make the most informed decision. I have let the Congresswoman know we are asking your sponsor forms. Just let us know if you have any questions or concerns. Thank you.

From: Dunn
Sent: Wednesday, September 19, 2007 3:09 PM
To: Dunn
Subject: RE: Draft Program - 2007 Business Conference (no agenda or program attached)

I am mailing (US Postal) a copy of the official Gifts and Travel Guide. Some pages are omitted so call with any questions not addressed in the second pages. I am using the address you provide in your email.

From: Dunn
Sent: Wednesday, September 19, 2007 2:14 PM
To: Dunn
Subject: RE: Draft Program - 2007 Business Conference (no agenda or program attached)

Patricia:

I understand that several organizations will take part in sponsoring food and other parts of the Agenda Travel. However, I hope confusion on the official sponsor, that organization providing travel, lodging, and organizing the trip? Am I aware of the CARB's criteria? The official sponsoring organization must not retain or keep a registered lobbyist or registered foreign agent (and the sponsor must have a direct and immediate relationship with the event or location being visited). To assist with this, I am requesting information on lodgings and reserving in just a moment. Please provide a fax number if that method of submission will be more helpful. If there is someone handling this matter, please provide me their direct contact information so I can ensure adherence to these new guidelines pre-travel.

In any event, I do need to know who the official sponsor will be. I have assigned a staff attorney to review your documents and will remain in contact with you until this matter is resolved.

Please respond today or tomorrow at the latest. I will be traveling for a while thereafter and must ensure that my staff attorney has all that is necessary for a safe return.

Dunn

From: Dunn
Sent: Tuesday, September 18, 2007 7:00 PM
To: Dunn (Dunn.KellyHobley@waxhousedems.gov)
Subject: RE: Draft Program - 2007 Business Conference (no agenda or program attached)

Please fill in the blanks.

Confidential

09-6333 0203

CN-000089
We had received the forms from Shelby.
The sponsors to date are: MACYS, PFEIFFER, AMERICAN AIRLINES, GOLDEN KRUST BAKERY, CARIBBEAN FOOD DELIGHTS, PREFERRED HEALTH PARTNERS, IBM, AT&T/INGULAR

Regards

PATRICIA LORIE
Executive Assistant
CARNIB NEWS
7 West 30th Street, 8th Floor
New York, NY 10001

--- Original Message ---
From: Kathy Holsby, David [mailto:David.Kathy.Holsby@meatpacking.com]
Sent: Tuesday, September 18, 2007 12:57 PM
To: plcs
Subject: Draft Program - 2007 Business Conference (no agenda or program attached)

| When you send the draft agenda, please also forward any information on your sponsor's status. Do you need a copy of the new travel rates? |

From: Kathy Holsby, David
Sent: Monday, September 17, 2007 5:13 PM
To: plcs
Subject: Draft Program - 2007 Business Conference

Nothing was attached to this email. Therefore, we have not received the proposed agenda you mention below and have nothing to preview.

From: plcs [mailto:plcs@meatpacking.com]
Sent: Monday, September 17, 2007 4:47 PM
To: Kathy Holsby, David
Subject: Draft Program - 2007 Business Conference

Mr. Mobley,

We again offer to pay the meals for Members to attend the Conference and you asked for the program. I have not gotten back to you because we have been working on getting the program together.

Attached is the draft for your guidance.

Regards and Thanks

PATRICIA LORIE
Executive Assistant
CARNIB NEWS
7 West 30th Street, 8th Floor
New York, NY 10001

9/30/2007
09-6333 0261

CONFIDENTIAL

CN-000000
| Sponsors (who will be paying for the trip): | CAFER NEWS FOUNDATION |
| 2. I represent that the trip will not be financed (in whole or in part) by a lobbying or a registered foreign agent (check box): | ☑ |
| 3. I represent that the trip sponsored by any other person or corporation directly or indirectly to finance any aspect of the trip (check box): | ☑ |
| 4. Is travel being offered to an accompanying family member of the House delegate? | ☑ No |
| 5. Please name and title of ALL House delegates; for each delegate, provide explanation of why the individual was invited (limit to additional pages if necessary): | REPRESENTATIVES SPOUSE |
| 7. Cities of departure - destination | WASHER DEPENDENT ON MEMBER |
| 8. Attached is a detailed agenda of the activities taking place during the travel (i.e. or brief description of planned activities) (check box): | ☑ |
| 9. I represent that (check any of the following): | ☑ |
| a. The sponsor of the trip is an institution of higher education within the meaning of section 101 of the Higher Education Act of 1965: | ☑ |
| b. The sponsor of the trip does not own or employ a federally registered lobbyist or registered foreign agent: | ☑ |
| c. The trip is for attendance at a specially-event and lobbying involvement in planning, or paying, promoting, or arranging the trip is de minimis under the House’s travel regulations: | ☑ |
| 10. Is travel for participation in a one-day event (i.e., if you checked Question 9(a), check one of the following): | ☑ |
| a. One-night's lodging and meals are being offered: | ☑ |
| b. Two-night’s lodging and meals are being offered: | ☑ |
| If "b" is checked, explain why the second night is warranted: | |
11. If the trip is not sponsored by an institution of higher education, I represent that a federal-registered lobbyist or foreign agent will not accompany House Members or employees on any segment of the trip (signify "yes" by checking box).

12. Private persons must have a direct and immediate relationship to the purpose of the trip or location being visited. Describe the role of each person in organizing and conducting the trip:

[Attached Sheet]

13. Describe each person’s organizational interest in the purpose of the trip:

[Attached Sheet]

14. Describe the type and class of the transportation being provided. Indicate whether local, interstate, or international transportation will be provided. In addition, if travel via aircraft, please indicate if travel is being provided on a commercial flight, chartered flight, or on an aircraft operated or paid for by a carrier not licensed by the Federal Aviation Administration or operated for compensation or hire (i.e., a private aircraft). If transportation is being provided, or if travel is via chartered or private aircraft, please provide an explanation describing why such travel is warranted:

[Attached Sheet]

15. I represent that the expenditures related to travel and lodging during the trip will be incident to personal or professional activities of the individual(s) (signify "yes" by checking box).

16. I represent that either (check one of the following):

a. The trip deserves no event that is arranged or organized without regard to congressional participation and that costs paid to congressional participants are similar to those provided to or purchased by other event attendees.

b. The trip involves events that are arranged or organized specifically with regard to congressional participation. If "yes" is checked, detail the cost per day of events (approximate cost may be provided):

17. Reason for selecting the location of the event or trip:

[Attached Sheet]

18. Name of hotel or other lodging facility:

[Attached Sheet]

19. Cost per night of hotel or other lodging facility (approximate cost may be provided): $0.00

20. Reason(s) for selecting hotel or other lodging facility:

[Attached Sheet]
23. I certify that the information provided above is true, complete, and correct to the best of my knowledge.

Signature: ______________________
Name and title: KARL R. MOONEY, CEO
Organization: CAYE HILL FOUNDATION
Address: 7 WEST 30TH STREET, 8TH FLOOR NEW YORK, NY 10001
Telephone number: 212-441-1901
Fax number: 212-441-0960
Email Address: __________
The Committee shall only contact the street individual above if additional information is required.

If there are any questions regarding this form please contact the Committee at the following address:

Committee on Standards of Official Conduct
U.S. House of Representatives
1100 Longworth Building
Washington, DC 20515
(202) 225-6110 (voice)
(202) 225-9793 (federal fax)
(202) 225-7172 (for travel approvals)

Written by: Committee on Standards of Official Conduct

09-6333 0208
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<thead>
<tr>
<th>Name</th>
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<tr>
<td>Stanford Bishop</td>
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<td>2007 MULTINATIONAL BUSINESS CONFERENCE</td>
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<td>INVITED MEMBERS OF CONGRESS</td>
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<td>Edward Phelps</td>
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<td>G. Stuberfield</td>
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<td>William Loy Clark</td>
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<td>Sheila Jackson Lee</td>
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<td>Bilt Wainwright</td>
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<td>George Halasz</td>
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Item #12

CARIB NEWS FOUNDATION is organized to provide education and information about the Caribbean in the area of Business, Education, Health and Culture. Promote Good neighborly within the United States and the hemisphere.

The participants are selected to participate in the various workshops during the Conference based on their demonstrated interest, expertise and assignment in the United States Congress.

Organized by Carib News Foundation. A non-profit project 501-C3 corporation
WORKING DRAFT

1st Annual Caribbean Multi-National

[Table]

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Location</th>
<th>Sponsor</th>
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<tbody>
<tr>
<td>09:00</td>
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<td>09:30</td>
<td>COMMUNITY OUTREACH PROGRAM</td>
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<td>10:30</td>
<td>WTO - HIFIS BASED TRAIN &amp; POVERTY REDUCTION</td>
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<td>Speaker</td>
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<td>Hon. Charles Boulé - Minister of Congress</td>
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<td>Hon. Martin Noverre - Member of Congress</td>
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<td>Hon. Dr. Benoit - Minister of Finance &amp; The Economy</td>
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<td>Moderator</td>
<td>Wellington Paul</td>
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<td>Facilitator</td>
<td>MED Interns</td>
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<tr>
<td>4:30-7:30pm</td>
<td>OPENING BRIEFING</td>
<td>Sandals Grande</td>
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<td></td>
<td>Venue</td>
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<td></td>
<td>Theme</td>
<td>CEMENTING DIASPORA TIES</td>
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<tr>
<td></td>
<td>Sponsor</td>
<td>Antigua Government</td>
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</tbody>
</table>
Speaker: Hen. Gregory Meeks - Member of Congress
CARECOM - TBD

4:00pm - 5:00pm

Venue: Off Site

Theme: HEALTH - COMMUNITY ISSUES - PROVEN SOLUTIONS

Sponsor: Pfizer

Remarks: Karen Boykin-Tavon

Moderator: Dr. Nicola Bayes Smith
4:00-5:00 pm  
GALA RECEPTION

7:30-10:00 pm  
GALA DINNER & AWARDS

Viceau

Sponsors  
CITIF/CYFIL

Speakers  
Hon. Charles Kugel - Member of Congress
Hon. James Clyburn - Member of Congress

Keynote Speaker  
Prime Minister Hon. Baldwin Spencer

Presentation of the Marcus Garvey “Bridge Builder” Awards

Hospitality Area

10:00 pm - 1:00 am
CONFIDENTIAL

Subject to the Nondisclosure Provisions of H. Res. 895 of the 110th Congress as Amended

OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Memorandum of Interview

In Re: Representative 1 of Macy’s

Review #: 09-6333; 09-2567; 09-4403; 09-3698; 09-2222

Date: May 27, 2009

Location: 11 Penn Plaza
New York, NY 10001

Time: 11:10pm to 12:00 p.m. (approximately)

Participants: Leo Wise
Omar Ashmawy

Summary: Representative 1 from Macy’s is the Senior Vice President of Government and Consumer Affairs and Diversity Vendor Development at Macy’s, Inc. He was interviewed pursuant to Review 09-2567; 09-4403; 09-3698; 09-6333; and 09-2222. The OCE requested an interview with Representative 1 from Macy’s and he consented to an interview. Representative 1 from Macy’s was given an 18 U.S.C. § 1001 warning and signed a written acknowledgement of the warning. Representative 1 from Macy’s made the following statements in response to our questioning:

1. Representative 1 from Macy’s met Karl and Faye Rodncy in 1996. As a result of the large Caribbean Community in New York City and Macy’s commercial interests in the Caribbean region, Representative 1 from Macy’s asked Macy’s advertising division to consider the CaribNews newspaper.

2. The first conference he attended was in 1998 in St. Lucia. He attended as a participant. At the time, Macy’s was considering a store in Puerto Rico and so Representative 1 from Macy’s was especially interested in business in the region. He was impressed by how many government officials from the Caribbean region were present at the conference and by what they had to say about developing relationships with the United States.
3. In the ensuing years, Macy’s became a sponsor. The conference was a place where the company looked for vendors and designers. It was also a place where they could hear from U.S. legislators about their thoughts on the region. It was also a place for Representative 1 from Macy’s to connect with U.S. companies who were attending.

4. Macy’s first sponsored the conference in 2000. Over the years they have sponsored the event on an annual basis at varying levels, ranging from $10,000 to $35,000. As women’s issues are particularly important to Macy’s, given their clientele, their sponsorship focuses on the conference’s “Women’s Power Breakfast.” The event was described as very lavish. All attendee of the breakfast also get a Macy’s tote bag.

5. In 2008, Macy’s contribution to the conference was $35,000 in cash and an in-kind contribution of 400 tote bags. The total value of the in-kind contribution was $4,620. The money was earmarked specifically for the conference.

6. As a sponsor, Macy’s was given the opportunity to have a representative make opening remarks, to have representation at the Women’s Power Breakfast, have input into who the speaker at the breakfast will be, and attend the closed door session with Members of Congress and officials from the Caribbean governments. Representative 1 from Macy’s did in fact attend the closed door session in 2008. He recalled that other corporate sponsors also attended the meeting, but he could not recall which ones.

7. Representative 1 from Macy’s recalled interacting with Representative Payne, Representative Kilpatrick, Representative Thompson, Representative Rangel, and Delegate Christensen. His interactions were all social in nature.

8. Representative 1 from Macy’s was not aware of any other events sponsored by or planned by the CaribNews Foundation. With the exception of the conference, he was not aware of any other instances when Macy’s supported a CaribNews Foundation event. Given Representative 1 from Macy’s position within the company, it is very likely he would know if Macy’s had done so.

I prepared this Memorandum of Interview on May 28, 2009 after interviewing Representative 1 from Macy’s on May 27, 2009. I certify that this memorandum contains all pertinent matter discussed with Representative 1 from Macy’s on May 27, 2009.

Omar Ashmawy
Investigative Counsel
EXHIBIT 21
Updated Schedule

13th Annual Caribbean Multi-National Business Conference Programme
Antigua & Barbuda

Thursday, November 3, 2007

<table>
<thead>
<tr>
<th>Time</th>
<th>Conference Registration</th>
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<tbody>
<tr>
<td>8:00 - 8:30 am</td>
<td>OPENING RECEPTION</td>
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<tr>
<td>8:30 - 9:00 am</td>
<td>COMMUNITY OUTREACH PROGRAM</td>
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<td>Vance</td>
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<td>Multi-Purpose Cultural Centre - Penny Rey, St. John's</td>
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<td>Debbie</td>
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<td>WTZ-NEW TRADE &amp; POVERTY REDUCTION</td>
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<td>9:00 - 9:30 am</td>
<td>Speakers</td>
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<td>Hon. Charles Rangal - Member of Congress</td>
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<td>Hon. Mollon Waters - Member of Congress</td>
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<td>Hon. Dr. Errol Cast - Minister of Finance &amp; The Treasury</td>
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<td>9:30 - 10:00 am</td>
<td>Moderator</td>
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<td>Tony Hau</td>
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<td>10:00 - 11:00 pm</td>
<td>THEMES</td>
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<td>11:00 - 12:00 pm</td>
<td>SPEAKERS</td>
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<tr>
<td>12:00 - 1:00 pm</td>
<td>COLLABORATIVE STRATEGIES</td>
</tr>
</tbody>
</table>

09-6333 0235
Friday, November 9, 2007

6:00am - 8:00am  
BREAKFAST - Buffet Style

8:00am - 9:00am  
CONFERENCE REGISTRATION

9:00am - 12:30pm  
OPENING CEREMONIES

Venue:  
Reception Area - Main Ballroom

Speakers:  
Hon. James C. Smith - Minister of Justice & The Solicitor
Hon. Dennis Chin-Woo Hancock - Member of Parliament
Hon. Carolyn Chang Kiyokawa - Member of Parliament

Remarks:  
Dr. Lovell Lucks, Chief Minister
Dennis Chin-Woo Hancock, Minister of Justice
Sandra Williams, Leader of Govt. St. Vincent

12:30pm - 2:15pm  
LUNCH & NETWORKING

Venue:  
Reception Area - Main Ballroom

Speakers:  
Hon. James C. Smith - Minister of Justice & The Solicitor
Hon. Dennis Chin-Woo Hancock - Member of Parliament
Hon. Carolyn Chang Kiyokawa - Member of Parliament

2:15pm - 5:00pm  
SESSION I: ENTERPRISE DEVELOPMENT & STRATEGIES

Venue:  
Reception Area - Main Ballroom

Speakers:  
Dr. Lovell Lucks, Chief Minister
Sandra Williams, Leader of Govt. St. Vincent

Remarks:  
Sandra Williams, Leader of Govt. St. Vincent
Ambassador Anwar Young

Hon. Louis E. Ted Tash - Governor General of Antigua

OR

Prime Minister - Hon. Dr. Denzil Douglas

His Excellency

10:00 - 11:45am

Theme: Presentation

Venue: Sandals Grande

Chair/Moderator: Dr. Anilgo Higgins

Speaker:

Hon. Morris Vassie - Member of Congress

Hon. Compton Harru - President, CUB

Mr. Milton Lawrence, Chairman Barbeach Banking Corporation

Mr. Rosaph Croy

Hon. Dr. David Douglas, Prime Minister and Minister of Finance, St. Kitts

11:45 - 12:30

Culture: Promise & Potential in Business

Chair: Professor Ren, Nettlifield

Speaker:

Hon. Howard Davis

Patrick Payns

Hon. Harold Loomis, Minister of Culture

12:30 - 1:15pm

Theme: National Security: A Pre-Conditon for Success

Venue: Sandals Grande

Moderator: Lord Jean Baptiste

Remarks: Brigadier General
Yogeesa Govender

President

H.E. Dr. Irfaan Ali - President of Guyana
H.E. Mohamed Imam - President of South Africa
H.E. Ms. Ameenah Gopaul-Bradley - President of Mauritius
H.E. Ms. Karin Jakobsen - President of Denmark
H.E. Ms. Ine Marie Eriksen Skoog - President of Norway
H.E. Ms. Edith Schlumpf - President of Luxembourg
H.E. Ms. Sarah Keune - President of the Netherlands

1100-1130am

Theme:
EDUCATION - LI S AND CARIBBEAN SYNCHRONIES TO OVERCOME CHALLENGES

Moderator:
Colin Ward

Speakers:
Don Milner O. Judson, President, Machel Mann College
Hon. Donald F. Popas - Member of the Parliament
Hon. Reemard Joseph, Minister of Education

1130am-1200pm

Theme:
FINANCE COMMUNITY ORGANIZATION S: VALUE AND ROLE

Moderator:
Michael Flaherty

Speakers:
Sri Dey - CITI
Hon. William Thompson, New York City Comptroller

240pm-250pm

Round Table
IMMIGRATION

Moderator:
Dr. Mansa Meara
311

Speakers
- Hon. David Lee - Member of Congress
- Hon. Yvetta Clarke - Member of Congress
- Hon. Kodell Stewart - City Council member

DIVERSITY IN GROWTH & DEVELOPMENT
MACYS - Dennis Yonker
- El Goldfarb
- Chaoyi Shao
- Sonya Borsko North Peabody
- City Government
tive.

EMPLOYMENT IN TRANSITION
- Hon. Kevin Weber - Member of Congress
- Hon. Yosef Goldman
- Ambassador Andrew Young

PORT & AIRPORT SECURITY - THE MANDATE
Moderator
- Ms. Susan Ogden
- Hon. Brenda Thompson
- Hon. Dr. Lee Josephson

Venue
- Ronald Grady

Participant
- Traford Health Partners

Speakers
- Hon. Barbara Lee - Member of Congress

Venue
- 09-6333 0239
312

Speaker - Hon. Gregory Medda - Member of Parliament
CAMELIA REEP - YSD

5.30pm – 6.30pm
Venue - Multipurpose Cultural & Exhibition Centre - Percy Eye

Theme - HEALTH - COMMON SENSE - PROVEN SOLUTIONS - WHAT
Healthy Eating, Healthy Living

Emcee - Mr. James Boyd-Towns

Keynote Speaker -
Dr. Donnell Douglass - Fiji's Minister of Health
Dr. John George - Health Minister
Dr. John Pena
Hon. Ulaa Baro, Member of Parliament

6.30pm – 9.00pm
Venue - RUSTY COUNTRY EVENING
Hosted by Prime Minister Baldwin Smellie

Venue - Multipurpose Cultural and Exhibition Centre - Percy Eye

5.30pm – 6.30pm
Venue - Hospitality Area

Venue - Sandals Resort - Reflection Pool

99-6333 0240
Saturday, November 10, 2007

9:30am - 10:00am

Vendor

- Sandale Grande - Main Ballroom

Theme:

- WOMEN AND EMPOWERMENT IN THE UMAGULU

Sponsors

- Sandale Grande

LOC

- Marilyn Johnson

Speakers

- Mr. Oliver Allsopp MP UK
  Commission for Social Welfare, Isle of Sheppey

- Hon. Caroline Steel, Member of Parliament

- Hon. Nelleen Johnson - Member of Parliament

- Dr. Mercedie Macek

- Ms. Toshi Barak

- Governor General - Dame Lesley Lake-Tutu - Chair

- Ms. Lenille McLean, President/GCEO HCLI

- Commissioner of Women's Affairs, Leader of Government

10:30am - 11:00am

Theme:

- HEALTH - REAL INVESTMENT OPPORTUNITIES IN UPGRADE AND DELIVERY

Vendor

- Sandale Grande

Greeting

- Yvonne Ngpela - Nilox

Chair/Moderator

- Rev. Yvonne Graham

Keynote

- Dr. Despod Douglas - Prime Minister St. Kitts/Nevis
314

Pandale

H.E. John Michael McGlinchey, Minister of Health
Dr. Mervyn Repa-Smith
Dr. Carl Reed, Country Health Partners

Throne

TRAVEL & TOURISM EXPANSION - THE DIASPORA AS A CATASTROPHE

Venue

Randall Gardens

Chief Mediator

Mr. Lloyd Williams, GEECC

Speakers

H.E. James Richardson – Minister of Commerce
H.E. Hon. LeRoy, Minister of Forestry, Agriculture & Tourism
H.E. Hon. Dow, Disaster Schomburg Centre

3:00 - 3:30pm

PRESENTATION

Venue

Randalls Gardens

Rielle

Mr. Mike Long

Keynote Speaker

H.E. Sir Venus – Minister of Commerce
H.E. Edna Patricia Johnson – Minister of Commerce
Dr. Blane and Mason – Minister of Trade
Dr. Kenneth Hamilton

3:30 - 3:35pm

Vitamins

INTEGRATING THE DIASPORA IN BUSINESSES - INVESTORS, MANAGERS, MENTORS & TRAINERS
315

Venue: Sandals Grand
Moderator: Roy Whitelock
Participant: MRIC
Annex: Mr. Joven Divar
Spokesman: Hon. Cayman Brown

5:30 - 6:00 p.m.: UNCH
Theme: CARIBBEAN TRADE COMPETITIVENESS AND FOREIGNING

Venue: Sandals Grand
Speaker: Walter Ford - Goodwork International
Keynote Speaker: Hon. Willy Miller - Minister of Trade & Foreign Trade

5:00pm - 6:00pm: OPEN TABLE
Venue: Sandals Grand
### Round Table A

**Theme:** CARIBBEAN - A COMPETITIVE PRACTICE CASE STUDIES

**Venue:**
- Dr. Lady Komiti
- Dr. Victor Moller
- Eman Youssef Graham

**Round Table B

**Theme:** HISPANIC: CHALLENGE FUND

**Venue:**
- Saadeh Ghaith

**Speakers:**
- Dr. Yevita Clarke - Member of Congress
- Mr. Leighwood Radford
- Mr. Timeyard Ganebrown

**Participants:**

### Round Table C

**Theme:** CLOSING THE GENERATION GAP

**Speakers:**
- Dr. Yevita Clarke - Member of Congress
- Varda Rosado
- Lila Belnes
- Sebaika Haung
- whipysts Wellington

**Venue:**
- Randolph Gicando

**Participants:**
<table>
<thead>
<tr>
<th>Time</th>
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<th>Speaker</th>
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<td>6-7pm</td>
<td>GALA DINNER</td>
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<td>7-8pm</td>
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**Venue**
- Multi-purpose Cultural & Educational Centre
- Generic

**Speaker**
- Dr. Ifrah Jeevan - President Medgar Ever College
- Hon. David M. Dikewa - Former Mayor New York City
- Hon. Edna Sambo Johnson - Member of Congress
- Hon. Nationalson Joseph
- Hon. Stephanie Tibbe-Jeans - Member of Congress
- Hon. Wilma Miller - Minister of Foreign Affairs, Minister of Government - Antigua
318

GALA DINNER & AWARDS

Theme:

Venue:

Speakers:

Special Speaker:

Presentation of the Macaus Garyway "Bridge Builder" Awards

Hospitality Area

303person - 303person

Venue:

Sunday, November 11, 2007

9:00am - 10:00am

POWER BREAKFAST

Theme

Chairman

Selectee

Selectee

Selectee
CONFIDENTIAL

Subject to the Nondisclosure Provisions of H. Res. 895 of the 110th Congress as Amended

OFFICE OF CONGRESSIONAL ETHICS
UNITED STATES HOUSE OF REPRESENTATIVES

Memorandum of Interview

In Re: Staff Member 1 of Congressman Rangel’s Office
Review #: 09-6333; 09-2567; 09-4403; 09-3698; 09-2222
Date: May 27, 2009 and May 28, 2009
Location: Washington, DC (via telephone on May 27, 2009) and at Rayburn HOB 354 (on May 28, 2009)
Time: 4:10pm to 5:30 p.m. (approximately) and 3:30pm to 4:00pm (approximately)
Participants: Leo Wise
Omar Ashmawy

Summary: Staff Member 1 of Congressman Rangel’s Office is currently the chief of staff of Representative Charles Rangel, a Member of the United States House of Representatives representing the Fifteenth District of New York. He was interviewed pursuant to Review 09-2567; 09-4403; 09-3698; 09-6333; and 09-2222. We requested an interview with Staff Member 1 of Congressman Rangel’s Office and he consented to an interview. Staff Member 1 of Congressman Rangel’s Office’s counsel was present. Staff Member 1 of Congressman Rangel’s Office made the following statements in response to our questioning:

1. Staff Member 1 of Congressman Rangel’s Office was given an 18 U.S.C. § 1001 warning and consented to an interview. Staff Member 1 of Congressman Rangel’s Office signed a written acknowledgement of the warning. [attached]

2. Staff Member 1 of Congressman Rangel’s Office did not attend the 13th Annual Caribbean Multi-National Business Conference although he received an invitation. In response to a Request for Information by OCE, Staff Member 1 of Congressman Rangel’s Office looked for Representative Rangel’s invitation to the conference but could not find it. He had thought Representative Rangel had received one, but because he could not find the invitation he now thinks that Representative Rangel did not receive one.
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3. Representative Rangel could have been invited orally as he has been attending the conference for years and was seen almost as a partner. He attends the conference because he is dedicated to strengthening the relationships between the Caribbean community, the African-American community of New York City and in general, and the United States.

4. The question of whether Representative Rangel would attend the conference in 2008 was a difficult one because of the negative press he had received throughout the preceding summer. Representative Rangel was cautious about attending because he didn’t want to be a target for additional negative publicity, but Staff Member 1 of Congressman Rangel’s Office and others on the Member’s staff argued that he should go to the conference. They argued that if Representative Rangel did not attend he would be rejecting the friends with whom he helped build the conference and that the Member had to stand up and do the right thing despite the possible negative publicity.

5. Ultimately, Staff Member 1 of Congressman Rangel’s Office and his staff persuaded the Member to attend. Representative Rangel decided to keep a low profile and, unlike in past years, staff would not attend the conference with the Member.

6. Staff Member 1 of Congressman Rangel’s Office stated that the CaribNews Foundation invited the Member. The CaribNews Foundation is the charitable arm of the newspaper. When the rules changed in 2007 and corporations could not be involved as before – i.e. direct contributions to the conference – there was “talk” about how to do the conference in light of the new rules.

7. According to Staff Member 1 of Congressman Rangel’s Office, there was “talk” that the Rodneys needed an entity to create a common fund so that the corporate money could be used to pay for the conference and that the CaribNews Foundation could be used for that purpose.

8. Staff Member 1 of Congressman Rangel’s Office initially stated that he did not remember how he was aware of this “talk.” He stated that part of it was his reading of the rules and the supplemental material about how things got done. He then stated that “we” celebrated when Representative Susan Tubbs-Jones was made the chair of the Standards Committee in 2007 because she would try to create a way for Members of Congress to continue to attend the conference. Staff Member 1 of Congressman Rangel’s Office then stated that he was made aware of the “talk” through the Rodneys and that the Rodneys told Staff Member 1 of Congressman Rangel’s Office that Representative Tubbs-Jones was going to have her counsel, Dawn Kelly-Mohley, find a way to make the conference work. The Members would have a few more hoops to go through but “we” would find a
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way. Representative Tubbs-Jones would let Ms. Mobley know the conference was a
priority and tell her to make it possible. Representative Tubbs-Jones made Ms. Mobley
the point of contact on the issue of the conference.

9. Staff Member 1 of Congressman Rangel's Office stated that Representative Rangel also
mentioned that Representative Tubbs-Jones told him something similar. Staff Member 1
of Congressman Rangel's Office stated that there was talk about "keeping the conference
going." He also stated that "They gave us the framework to keep the conference going." "They" referred to Ms. Mobley and Representative Tubbs-Jones.

10. Staff Member 1 of Congressman Rangel's Office did not remember any specific
conversations with Ms. Mobley, but he would have had them because he would have
wanted to make sure he followed her advice. He stated that the 2007 conversations about
Standards Committee finding a way to keep the conference going may have also been
with Patricia Louis, the Rodney's office manager.

11. Regarding the structure of the CaribNews Foundation, Staff Member 1 of Congressman
Rangel's Office said that the role of the foundation was more formalized as a way to
handle the new rules and that it would have come from the Standards Committee staff.
The Rodney's were the first people to describe the new structure to Staff Member 1 of
Congressman Rangel's Office following their conversation with Ms. Mobley. The
Rodney's told Staff Member 1 of Congressman Rangel's Office that they could easily
comply because they had always done the conference through the foundation. The
Rodney's told him that it should have always been called the CaribNews Foundation's
conference.

12. Before 2007, Staff Member 1 of Congressman Rangel's Office new that the corporations
had a role in the conference because the format was in part to bring businesses together.
Members of Congress would talk policy, but the Members' presence was the glamour
part of the conference and a way to attract more people. However, policy was not the
central focus of the conference. The central focus of the conference was business and
increasing investment in the region. The Members of Congress drew government
officials from the various Caribbean governments and these government officials drew
the businesses.

13. Staff Member 1 of Congressman Rangel's Office was aware the involvement of other
corporations like AT&T, Macy's, Citi, etc because they were pretty consistent supports
of the conference. It was clear they were supporters of the conference financially.
14. Staff Member 1 of Congressman Rangel's Office did not talk to Representative Rangel about these matters because the Member does not require that level of detail and does not typically ask for specifics.

15. Staff Member 1 of Congressman Rangel's Office did not remember how he became aware of the 2007 rule changes and did not remember attending any briefings or training about the new rules. He thought he was aware of the limits on the number of days a Member could attend an event paid for by an entity that employs a lobbyist, but he was not certain. Mr. Daley did not think he was aware of rules that made an entity that earmarked money for a trip a sponsor of that trip.

16. In response to the question: At the time of the 2007/2008 conferences, how sponsor was defined? Staff Member 1 of Congressman Rangel's Office stated that the New York CaribNews Foundation was the sponsor of the conference because they were putting on the conference with money from a general fund that would pay for the conference. At that time he became conscious of a need for a 501(c)(3) to be the sponsor.

17. Over the course of several phone calls—most often with Patricia Louis and Fays Rodney, Karl Rodney's wife —Staff Member 1 of Congressman Rangel's Office learned that the CaribNews Foundation was going to raise money from their traditional donors and other entities.

18. The government of St. Maarten was the lynchpin of the 2008 conference. They were the conference's host and they had specific requirements, as host, that were financial in nature. For instance, when a host government owns a conference center and/or hotel then they give the rooms and conference space for free. If they do not own space, then they have to arrange with a hotel to give rooms and space to the conference at an affordable amount. Other host government support includes police escorts, airport greeting services, and security services. They also host an opening reception and key components of the conference.

19. Although it was not typical, Staff Member 1 of Congressman Rangel's Office became the scheduler for Representative Rangel's travel to the conference in 2008 because he played a part in convincing him to go. Staff Member 1 of Congressman Rangel's Office made the reservations for the Member, but did not remember how he did it or whether the Representative had an e-ticket or a ticket in some other form. He did not remember receiving any airline itinerary documents, but it would have been common practice for him to receive one.
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20. Staff Member 1 of Congressman Rangel’s Office was shown the pre-travel clearance form submitted to the Standards Committee and stated that he filled it out and the Member signed it. He was shown the post-travel disclosure forms that were submitted to the Standards Committee and stated that he filled them out and the Representative signed them.

21. Staff Member 1 of Congressman Rangel’s Office initially said he got the information to fill out the post-travel forms from the Rodneys and stated that he remembered getting a memo from the Rodneys with the cost of the various aspects of the trip on it and that the memo was where he got the dollar amounts for the post-travel forms. He was then asked to explain why the numbers on the post-travel form matched the pre-travel form and not the memo from the Rodneys. Staff Member 1 of Congressman Rangel’s Office then said that he could not say for sure that he got the numbers from the memo. He did not remember if the numbers were from the memo or from the pre-travel forms. He was not sure if he checked the cost of the airfare against the airline tickets or if he got it from the pre-travel documents or from the memo.

22. Generally speaking, however, Staff Member 1 of Congressman Rangel’s Office would not look behind the numbers given by the Rodneys. He would assume the Rodneys were accurate. Staff Member 1 of Congressman Rangel’s Office was not certain how it was done, but thought that the accounting for the conference was simple and the information for each Member would be the same. He did not ask the Rodneys for supporting documentation for the numbers on the memo.

23. After the conference, he spoke to Representative Rangel generally about the event. When the article by Susan Crabtree was published there was a lot of talk about the subject of the article with several people. Staff Member 1 of Congressman Rangel’s Office did not remember with whom he spoke. He then said that he spoke with the Rodneys and the Member. Overall there was an opinion that there could not be anything substantive to the article because the travel was approved by the Standards Committee. It was true that the corporations were at the conference, but they did not have anything to do with their Washington, DC agenda because that’s not who attended the conference. His conversations with Representative Rangel were brief and were limited to reassuring him that the Office followed the rules and got approval for the travel.

24. After the OCB review was initiated Staff Member 1 of Congressman Rangel’s Office called other members of the Congressional Black Caucus. Representative Rangel asked him to make the calls and to tell them that he would stand by them and offered his help.
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25. Staff Member 1 of Congressman Rangel’s Office recalled a conversation with Representative Carolyn Kilpatrick’s chief of staff, Kim Rudolph. Ms. Rudolph addressed the comments that Representative Kilpatrick made in which she thanked the sponsors of the conference. Staff Member 1 of Congressman Rangel’s Office explained Representative Kilpatrick’s statements to OCE by saying that regardless of who the real sponsor of the event was, when Members thank the corporations it helps the Red Cross put on the conference — even if the sponsors are not sponsors under the rule. Staff Member 1 of Congressman Rangel’s Office also remembered speaking to Shelly Thomas, Delegate Donna Christensen’s scheduler, but did not recall the specifics of the conversation.

26. Staff Member 1 of Congressman Rangel’s Office was not aware of any limits on a private foundation paying for overseas travel. He did not know whether the CaribNews Foundation was a private foundation or a public charity.

27. Staff Member 1 of Congressman Rangel’s Office was shown a copy of Congressman Rangel’s itinerary and a receipt for an electronic ticket. Staff Member 1 of Congressman Rangel’s Office stated that he did not remember seeing it before, but that the itinerary was the type of document that would typically be placed in the Congressman’s briefing book so that he could provide the information at the airport in order to get his ticket. Staff Member 1 of Congressman Rangel’s Office also pointed out that the receipt for the electronic ticket was the sort of document that would only be provided after the Congressman checked in for his flight.

I prepared this Memorandum of Interview on May 28, 2009 after interviewing Staff Member 1 of Congressman Rangel’s Office on May 27, 2009. I certify that this memorandum contains all pertinent matter discussed with Staff Member 1 of Congressman Rangel’s Office on May 27, 2009.

Omar Ashmawy
Investigative Counsel

Page 6 of 6

Office of Congressional Ethics

09-6333 0253
Following is the completed form and attachments recurred for Members of Congress to extend the 2006 Multinational Business Conference scheduled for November 6-9, 2008 in St. Maarten.

Yours,
CARIB NEWS FOUNDATION is organized to provide education and information about the Caribbean in the area of Business, Education, Health and Culture, Promote Good Neighborly within the United States and the Hemisphere.

The participants are selected to participate in the various workshops during the Conference based on their demonstrated interest, expertise and assignment in the United States Congress.
PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form should be completed by all parties involved in the planning and execution of the travel and submitted to the Committee. The sponsor of the travel should submit a copy of the form and any necessary documentation to the Committee prior to travel.

1. Sponsor(s) who will be paying for the trip:

2. I acknowledge that the trip will be offered to all interested parties by a designated foreign agent or a registered foreign agent (check yes) or by another body:

3. I acknowledge that the trip originated from an approved source and that the trip is self-funded:

4. I acknowledge that the trip is not a personal or personal travel:

5. I acknowledge that the trip is not for educational or professional purposes:

6. Date of travel:

7. City of origin-destination:

8. Affiliated organizations:

9. Attached is a detailed report of the expenses incurred during the travel (including all necessary documentation):

10. If travel is for the purposes of:

   a. Educational or professional:

   b. Personal:

   c. Other:

   d. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   e. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   f. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   g. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   h. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   i. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   j. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   k. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   l. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   m. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   n. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   o. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   p. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   q. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   r. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   s. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   t. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   u. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   v. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   w. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   x. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   y. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   z. If "other" is checked, please provide a detailed report of the expenses incurred during the travel:

   {9-6333 0257

   CONFIDENTIAL CN-000114
11. If the trip is not sponsored by an institution of higher education, I represent that a federally registered lobbyist or foreign agent will not accompany these individuals or employees on any segment of the trip (signify "yes" by checking box). 

12. Private sponsors must have a direct and immediate relationship to the purpose of the trip or breeder being visited. Describe the role of such sponsors in organizing and coordinating the trip: 

OAHU METRO FOUNDATION - SEE ATTACHED

13. Describe each sponsor's organizational interest in the purpose of the trip: 

THE INTEREST OF OAHU METRO FOUNDATION IS TO PROMOTE, EXPAND, TRADE AND ESTABLISHMENT OF MEANINGFUL CONNECTIONS BETWEEN THE US AND THE CARIBBEAN

14. Describe the type and class of the transportation being provided. Indicate whether round, business-class or first-class transportation will be provided. In addition, for travel via aircraft, please indicate if travel is being offered on a commercial flight, private non-commercial plane or paid for by a sponsor not licensed by the Federal Aviation Administration to operate for compensation or hire (i.e., a private airplane). If first-class travel is being provided, or if travel is via chartered or private airplane, please provide an explanation detailing why such travel is necessary: 

REGULAR SCHEDULED AIR SERVICE, ECONOMY CLASS

15. I represent that the expenditures related to travel and travel during the trip will be unrelated to personal or recreational activities of the individual. Signify "yes" by checking box. 

16. I represent that either/each one of the following:
a. The trip involves an event that is arranged or organized explicitly in cooperation with the event and that neither provided to or purchased by other event arrangements if so.
b. The trip involves events that are arranged or organized specifically with regard to event arrangements if so.

If "yes" is checked, detailed the cost per day of meals (approximate cost may be provided)

17. Reason for selecting the location of the event or trip: 

SEE ATTACHED

18. Name of hotel or other lodging facility: 

GORDON'S MAUI BEACH RESORT

19. Cost per night of hotel or other lodging facility (approximate cost may be provided): $110.00

20. Reason(s) for selecting hotel or other lodging facility: 

HAS APPROPRIATE MEETING ROOMS

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99-6333 0258

CN-000115
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<td>Per each accompanying family member</td>
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29. I represent that reimbursement for miscellaneous travel expenses for the trip, such as travel to and from airports, security costs, hotel room fees, van application fees, and similar expenses, will be the actual costs incurred and are necessary for the purposes of the trip (as opposed to any other business travel). I:

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

Signature: [Signature]

Name and Title: [Name and Title]

Organizations: [Organizations]

Address: 7 W 63rd St, Suite 20, New York, NY 10023

Telephone number: [Telephone number]

Fax number: [Fax number]

Email Address: [Email Address]

The Committee staff may contact the above individuals above if additional information is required.

If there are any questions regarding this form, please contact the Committee at the following address:

Committee on Standards of Official Conduct
U.S. House of Representatives
222, The Capitol
Washington, D.C. 20515
(202) 225-7721 (office)
(202) 225-7730 (general line)
(202) 225-7722 (fax for travel approvals)

For further information, contact the Committee on Standards of Official Conduct.
MEMBERS OF CONGRESS INVITED TO THE
THIRTEENTH ANNUAL MULTI-NATIONAL BUSINESS
CONFERENCE, NOVEMBER 6-9, 2008, ST. MAARTEN, N.A.

Congresswoman Diane E. Watson
Congressman David Scott
Congressman James Clyburn
Congresswoman Nydia Velázquez
Congressman Charles Rangel
Congressman Donald Payne
Congresswoman Donna M. Christensen
Congressman Eolphus Towns
Congressman G. K. Butterfield
Congressman Gregory Meeks
Congressman Jesse Jackson Jr.
Congressman Keith Ellison
Congressman Kendrick Meek
Congresswoman Maxine Waters
Congressman Melvin Watt
Congressman Robert Scott
Congressman William Lacy Clay
Congresswoman Barbara Lee
Congresswoman Caroline Cheeks Kilpatrick
Congresswoman Corrine Brown
Congresswoman Eddie Bernice Johnson
Congresswoman Sheila Jackson Lee
Congresswoman Yvette Clarke
Congressman Danny Davis
Congresswoman Bennie Thompson
Congresswoman Laura Richardson

July 2008

09-6333 0260

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CN-000117
Item #12

CARIB NEWS FOUNDATION is organized to provide education and information about the Caribbean in the area of Business, Education, Health and Culture, Promote Good Neighborly within the United States and the hemisphere.

The participants are selected to participate in the various workshops during the Conference based on their demonstrated interest, expertise and assignment in the United States Congress.

Item 12

A Caribbean country whose proximity to other Caribbean Countries makes it conveniently located for delegates from the other Caribbean countries to attend.

Organized by Carib News Foundation. A non-profit project 501-C3 corporation

09-6333 0261

CONFIDENTIAL

CN-000118
MEMBERS OF CONGRESS INVITED TO THE
19th Annual Multinational Business Conference
St. Martin, November 6-9, 2008

Congressman William Lacy Clay
U.S. House of Representatives
234 Cannon HOB
Washington, DC 20515
Phone: 202-225-
Fax: 202-225-

Congresswoman Diane E. Watson
U.S. House of Representatives
234 Cannon HOB
Washington, DC 20515
Phone: 202-225-
Fax: 202-225-

Congressman Kendrick Meek
U.S. House of Representatives
1035 Longworth HOB
Washington, DC 20515
Phone: 202-225-
Fax: 202-225-

Congressman David Scott
U.S. House of Representatives
234 Cannon HOB
Washington, DC 20515
Phone: 202-225-
Fax: 202-225-

Congressman James Clyburn
U.S. House of Representatives
235 Rayburn HOB
Washington, DC 20515
Phone: 202-225-
Fax: 202-225-

Congressman Robert Scott
U.S. House of Representatives
234 Longworth HOB
Washington, DC 20515
Phone: 202-225-
Fax: 202-225-
Congresswoman Nydia Velázquez
U.S. House of Representatives
2041 Rayburn HOB
Washington, DC 20515
Phone: 202-225-0377
Fax: 202-225-0377

Congressman Charles Rangel
U.S. House of Representatives
2354 Rayburn HOB
Washington, DC 20515
Phone: 202-225-1915
Fax: 202-225-1906

Congressman Donald Payne
U.S. House of Representatives
2293 Rayburn HOB
Washington, DC 20515
Phone: 202-225-4100
Fax: 202-225-4100

Congresswoman Donna M. Christensen
U.S. House of Representatives
1510 Longworth HOB
Washington, DC 20515
Phone: 202-225-3300
Fax: 202-225-3300

Congressman Edolphus Towns
U.S. House of Representatives
2239 Rayburn HOB
Washington, DC 20515
Phone: 202-225-7017
Fax: 202-225-7017

Congressman G.K. Butterfield
U.S. House of Representatives
423 Cannon HOB
Washington, DC 20515
Phone: 202-225-2200
Fax: 202-225-2200

Congressman Gregory Meeks
U.S. House of Representatives
2754 Longworth HOB
Washington, DC 20515
Phone: 202-225-0283
Fax: 202-225-0283

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CN-000120
Congresswoman Corrine Brown  
U.S. House of Representatives  
2444 Rayburn HOB  
Washington, DC 20515  
Phone: 202-225-8371  
Fax: 202-225-8350

Congresswoman Eddie Bernice Johnson  
U.S. House of Representatives  
1311 Longworth HOB  
Washington, DC 20515  
Phone: 202-225-8371  
Fax: 202-225-8356

Congresswoman Sheila Jackson Lee  
U.S. House of Representatives  
435 Cannon HOB  
Washington, DC 20515  
Phone: 202-225-8371  
Fax: 202-225-8356

Congresswoman Yvette Clarke  
U.S. House of Representatives  
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Washington, DC 20515  
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Fax: 202-225-8356

Congressman Danny Davis  
U.S. House of Representatives  
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Washington, DC 20515  
Phone: 202-225-8371  
Fax: 202-225-8356

Congresswoman Stephanie Tubbs Jones  
U.S. House of Representatives  
2556 Longworth HOB  
Washington, DC 20515  
Phone: 202-225-8371  
Fax: 202-225-8356

Congressman Bennie Thompson  
U.S. House of Representatives  
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Washington, DC 20515  
Phone: 202-225-8371  
Fax: 202-225-8356
Working Copy

34th Annual Caribbean Multi-National Business Conference Program
St. Maarten, N.A.

Theme: A REGION IN TRANSITION – STRATEGY FOR CHANGE – BUILDING ALLIANCES

Thursday, November 6, 2008

12:00 noon - 6:00pm: CONFERENCE REGISTRATION

5:00 - 6:30: TOWN HALL FORUM - HEALTH
Healthy Eating and Living
Innovative Solutions for Life Styles
Diseases - a Collaborative Approach – Diabetes,
Hypertension, Obesity, Oral Health

Venue: ROYAL ISLANDER
Moderator: Dr. Marcin Bayne Smith
Speakers:
Mrs. Karen Boykin-Towne
Congressmember Dr. Donna Christian Christensen
Commissioner Maria Buncamper Molanus, Health
Commissioner, St. Maarten
Dr. Leon Morrieck
Dr. Jay Colan
Dr. John Palmer

6:30 - 7:30pm: OPENING RECEPTION
Venue: UPPER POOL

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Theme: A REGION IN TRANSITION

Speakers:
- Faye A. Rodney

MC: Subrina Hosung - Royal Caribbean Bolery

7:30 – 9:30 pm: OPENING DINNER

Venue: MAHO ROOM

Theme: STRATEGY FOR CHANGE

MC: Judge Sylvia Hinds-Radix

Speakers:
- Susan Taylor
  - Hon. Donald Payne, Member US Congress

10:00am – 1:00pm: HOSPITALITY AREA

Friday, November 7, 2008

8:00am – 8:45am: (BREAKFAST) – OCEAN TERRACE
<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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<tbody>
<tr>
<td>9:00 am</td>
<td>CONFERENCE REGISTRATION</td>
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<td></td>
<td>OCEAN TERRACE LOBBY</td>
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<td>CONFERENCE SECRETARIAT</td>
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<td>SABA ROOM</td>
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<tr>
<td>9:00 am</td>
<td>OPENING CEREMONIES</td>
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<tr>
<td>Venue</td>
<td>MAHO ROOM</td>
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<tr>
<td>Theme</td>
<td>BUILDING ALLIANCES FOR PROGRESS</td>
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<tr>
<td>Invocation</td>
<td>Rev. Susan Johnson-Cook</td>
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<td>Anthem</td>
<td>St. Maarten</td>
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<td></td>
<td>Lift Every Voice</td>
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<tr>
<td>Remarks</td>
<td>Earl Eve</td>
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<td>Karen Boykin-Towns</td>
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<td>Marko Long</td>
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<td>Ed Goldberg</td>
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<td>Patrick Gaston</td>
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<td>Hazel Dukes</td>
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<td>Speakers</td>
<td>Hon. Carolyn Cheeks Kilpatrick – Member</td>
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<td>US Congress</td>
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<td>Commissioner Sarah Wescott-Williams, Leader of Government, St. Maarten</td>
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<td>Harry Bohnote</td>
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</table>
RIBBON CUTTING CEREMONIES

10:15am - 10:30am  -  COFFEE BREAK

10:30am - 11:45am  -  PRESENTATION

EDUCATION - TECHNOLOGICAL ADVANCES - COLLABORATION

Moderator  -  Dr. Emmanuel Goncalves
Greetings  -  Marie Long
Speakers  -  Dr. Edison Jackson
            Patrick Gaston
            Dr. Marcia Kolbs
            Congressman Eddie Bernice Johnson
            Professor Rex Nettleford

12:00 noon - 1:15pm

PRESENTATION

TRAVEL AND TOURISM

A Transformative Approach

Moderator  -  Lloyd Williams
Greetings  -  Wallace Ford
Speakers  -  Commissioner Roy Martin
            Howard Dodson
            Congressman Gregory Meeks
            Professor Rex Nettleford
            Dr. Martin Valdes

CONFIDENTIAL
12:00 noon – 1:30 p.m.  
**PRESENTATION**

**HEALTH – AN ECONOMIC DEVELOPMENT STRATEGY FOR THE REGION**

**Greetings**  
Karen Boykin-Towns

**Moderator**  
Yvonne Graham

**Speakers**  
Dr. Denzil Douglas  
Dr. Carl Kenel Pierce  
Commissioner Maria Buncamper Molina, Health Commissioner, St. Maarten  
Dr. Dexter McKenzie

1:30 p.m. – 2:30 p.m.  
**LUNCH**

**Venue:**  
Main Ballroom

**Theme:**  
**BUILDING A WINNING STRATEGY - PARTNERSHIPS THAT WORK**

**Moderator:**  
Hov. Nick Perry, NYS Assembly  
Eric Eve

**Speakers:**

**Keynote Speaker**  
Hov. David Paterson, Governor New York State

3:00 p.m. – 4:00 p.m.  
**Round Table #1**

**Theme**  
**EDUCATION – THINKFINITY PRESENTATION & DEMONSTRATION**
Venue: Royal Islander A
MC: Dr. Patricia Hadlowood
Speakers: Patrick Gaston, Albert Browne

Round Table #2
Theme: LOCAL BUSINESS INITIATIVES
Opportunities with US Companies
Venue: Royal Islander B
Speakers: Ed Goldberg, Eric Eve

4:30pm – 6:00pm
Venue: Royal Islander A
Theme: TOWN HALL FORUM - EDUCATION
Greetings: Michael Flanigan
Moderator: Dr. Marcella Maxwell

Speakers: Hon. David M. Dinkins – Former Mayor, NYC
Dr. Edison O. Jackson
Dr. Marda Kelis
Professor Rex Nettleford, UWI
William Payne, Asseblennu New Jersey
Saturday, November 8, 2008

7:45 am – 8:15 am

Venue: Ocean Terrace

Theme: Women of Influence and Power

Venue: Maho Beach

7:45 am – 8:15 am

Venue: Ocean Terrace

Theme: Presentation

Venue: Maho Beach

10:00 am – 11:00 am

Venue: Hospitality Area

10:00 am – 11:00 am

Venue: Maho Beach

3:00 pm – 7:30 pm

Venue: Host Country Evening

Theme: Cultural Presentation

MC:

Speaker:

7:30 – 8:00 pm

8:00 pm – 10:30 pm

Venue:

Theme:

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<thead>
<tr>
<th>Time</th>
<th>Event Description</th>
<th>Person/Position</th>
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<tbody>
<tr>
<td></td>
<td>Greetings &amp; Opening Remarks</td>
<td>Brenda Scott</td>
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<td>Moderator</td>
<td>Marilyn Johnson</td>
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<td>Speakers</td>
<td>Commissioner Sarah Wescot-Williams, Leader</td>
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<td>of Government Business</td>
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<td>Dane Billie Miller, former Deputy Prime Minister,</td>
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<td>of Barbados</td>
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<td>Dr. Marcia Kelsa, President York College</td>
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<td>Michelle Paterson, First Lady New York State</td>
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<td>Congresswoman Eddie Bernice Johnson</td>
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<td>Rev. Dr. Susan Johnson-Cook</td>
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<tr>
<td>10.15am – 11.45am</td>
<td><strong>PRESENTATION</strong></td>
<td><strong>THE CARIBBEAN, IT'S VALUE &amp; POTENTIAL</strong></td>
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<td></td>
<td>Theme</td>
<td>Royal Islander A</td>
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<td>Venue</td>
<td>Wallace Ford</td>
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<td>Moderator</td>
<td>Dane Billie Miller</td>
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<td>Speakers</td>
<td>Hon. P. J. Patterson, former Prime Minister,</td>
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<td>Jamaica</td>
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<td>Hon. Dr. Ralph Gonsalves, Prime Minister St.</td>
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<td>Vincent and the Grenadines</td>
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<td>Hon. Dr. Denzil Douglas, Prime Minister,</td>
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<td>St. Kitts-Nevis</td>
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<td>Congressman Charles Rangel</td>
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<td>12:00 noon – 1:30 p.m.</td>
<td><strong>PRIVATE MEETING – CLOSED DOOR SESSION</strong></td>
<td>with Members of Congress and Ministers of Government</td>
</tr>
</tbody>
</table>

CONFIDENTIAL
12:00 noon – 1:15 pm
Theme
- TRADE & INVESTMENT – CREATIVE SOLUTIONS
  RETOOLING FOR GROWTH – PARTNERSHIP AT WORK
Venue
- Royal Islander A
Greetings
- Michael Flannigan
Moderator
- Ivanhoe I'friend
Speakers
- Adolfo Carrion, Borough President, Bronx, New York
  Compton Bourne, President Caribbean Development Bank
- Congressman Edolphus Towns
- Erle Eve

12:00 noon – 1:15 pm
Theme
-呈送
Venue
- Royal Islander B
Greetings
- Earl Brown, Deputy Borough President, Bronx
  Judge Sylvia Ash
  Tony Best
  Congressman Bennie Thompson
  Commissioner Theo Heyliger, St. Maarten
  Professor Ivelaw Griffith
  Hon. Lance Ogiste, Brooklyn District Attorney
Moderator
Speakers

1:30 pm – 2:30 pm
Venue
- MAHO ROOM
LUNCHBOX
Theme: CARIBBEAN – A SOLID INVESTMENT

Greetings
- Hon. Darryl Tows
- Hon. William Thompson, NYC Comptroller
- Dr. Compton Bourne, President CDB

Speakers
- Hon. William Thompson, NYC Comptroller
- Dr. Compton Bourne, President CDB

Round Table #1: IMMIGRATION/DEPORTERS
Venue: Royal Islander A
Moderator: Dr. Marco Mason
Speakers:
- Congressman Bennie Thompson
- Hon. Eddie Bernice Johnson, Member US Congress
- Attorney Stanford Robenstein
- NYC Councilmember Dr. Kendall Stewart

Round Table #2: HAITI – BOLD INITIATIVES – THE DIASPORA
Venue: Royal Islander B
Moderator: Hon. Yvonne Guham
Speakers:
- Hon. Charles Rangel
- Hon. Gregory Meeks
- Hon. Ralph Gonsalves
- Dr. Lesly Kernisant

4:30 pm – 6:00 pm: TOWN HALL FORUM - TECHNOLOGY
Venue: Royal Islander A
Greeting & Opening  -  Marcia Long
Moderator       -  Colin Ward
Speakers        -  Congressman Edolphus Towns
                 -  Albert Brown
                 -  Commissioner of Technology

6:30 – 7:30pm    -  GALA RECEPTION
Speakers        -  Susan Taylor
7:30pm – 10:00pm -  GALA DINNER & AWARDS PRESENTATION
Speaker         -  Dr. Harry Belafonte
                 -  Hon. Sarah Wescot-Williams, Leader of Government Business

AWARDS PRESENTATION
ENTERTAINMENT

10:30pm – 1:00am -  HOSPITALITY AREA

Venue            -  HOTEL CONFERENCE ROOM

Sunday, November 9, 2008

8:30 am – 1:00pm  -  POWER BREAKFAST
<table>
<thead>
<tr>
<th>Topic</th>
<th>SPIRITUALITY - THE BASICS IN BUSINESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Greetings</td>
<td>Lowell Hawthorne</td>
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<tr>
<td>Speakers</td>
<td>Ed Goldberg</td>
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<td>Selection</td>
<td>Local Choir</td>
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</tbody>
</table>

October 19, 2008
DEPARTMENT OF HEALTH & HUMAN SERVICES

Office of the General Counsel
Office of the Secretary
Washington, D.C.
20201

June 2, 2009

MEMORANDUM

TO: Deputy Ethics Counselors
National Institutes of Health

FROM: Karen Santoro
Ethics Counsel

SUBJECT: Outside Activities of NIH Employees with Foundations

Recently, a provision of the Internal Revenue Code has been brought to my attention that has serious ramifications for NIH employees who have previously received approval to engage in outside employment activities with private foundations. The statute imposes a tax on "self-dealing" between a disqualified person and a private foundation. 26 U.S.C. § 4941(a)(1). The statute, which was enacted in 1993, was intended to curb private foundations' attempts to influence Government officials. The Internal Revenue Service has issued a number of revenue rulings with respect to Government employees and prospective activities with private foundations.

Issues: The Internal Revenue Service imposes an individual penalty tax of up to 20% of the amount of compensation from a private foundation to certain Government officials conducting outside activities with private foundations.

Conclusion: Certain Government officials should refrain from accepting compensation (other than travel expenses within the United States) for outside activities with private foundations.

Discussion: Specifically, the statute imposes a tax on each act of self-dealing by a disqualified individual equal to the present value of the amount involved for each year in the taxable period. 26 U.S.C. § 4941(b)(1).

In any case in which an individual is deemed to be a disqualified person and an act of self-dealing occurs, a tax equal to 20% of the amount involved will be imposed on the disqualified person. 26 U.S.C. § 4941(b)(2).

The Code defines "self-dealing" as any direct or indirect agreement by a private foundation to make any payment to certain reimbursable government officials. 26 U.S.C. § 4941(b)(1)(B). Government officials who are "disqualified persons" within the scope of this restriction are federal officials, Presidential appointees, Schedule C employees, and independent contractors (i.e., those individuals who, for purposes of this section, are not eligible to receive benefits under the Federal Employees Health Benefits Program, but who are required to file a Form 1040 ( Individual Income Tax Return) at the end of the calendar year.

Also excluded from the definition of self-dealing are agreements to employ an individual for any period after the termination of his government service if the individual is simultaneously serving in a Government position with a 60-day period. 26 U.S.C. § 4941 (b)(1)(B). For purposes of the statute, a "disqualified person" has the same meaning as in 26 U.S.C. § 4941. A website for obtaining the status of a foundation can be found at http://ethics.od.nih.gov/Topics/IRS.htm

http://ethics.od.nih.gov/Topics/IRS.htm

5/28/2009
Government officials who are within the scope of this statute will be required to pay the tax only if the individual participates in the act of self-dealing knowing that it is an act of self-dealing. 26 U.S.C. § 4941 (a)(1). The regulations define "knowing" to include those situations where the individual had actual knowledge of the facts that such a transaction would be self-dealing; he is not excused if he acts without any such knowledge of the facts involved. Federal law governing self-dealing, and the negligence law make it necessary to attempt to ascertain whether the act is an act of self-dealing or not in fact means that it is an act of self-dealing. Treas. Reg. § 53.4941 (a)(1)-1(d)(2). The burden is on the individual to determine whether the act is an act of self-dealing or not. Since it is not an act of self-dealing within the meaning of the statute, the employee will not be subjected to the tax. Treas. Reg. § 53.4941 (a)(1)-1(d)(2).

An individual's participation in an act of self-dealing will not be considered "knowing" if the individual, after full disclosure of the factual situation to legal counsel, relies on the advice or opinion expressed as a "reasonable legal opinion" that an act is not an act of self-dealing within the meaning of the statute, even if the act is subsequently determined to be self-dealing. Treas. Reg. § 53.4941 (a)(1)-1(d)(2).

Finally, a tax for self-dealing will not be imposed under the following circumstances: certain remedial actions and awards if they are functions of the general public, remediable violations and the non-regulatory nature of the relief; informal private arrangements; agreements that are not unreasonably reflected in the terms of the contract; and payments made under the government's employee training program (5 U.S.C. Ch. 41) and payment of travel expenses within the United States. 26 U.S.C. § 4941 (d)(2)(B), Pub. L. 101, 1747, 26 U.S.C. 3650.

As a result of this statute, NIH employees paid at or above the GS 15-7 level are effectively prohibited from receiving remuneration from a private foundation for activities such as lecturing, writing, editing, or consulting. The Internal Revenue Service may serve a deficiency notice upon an employee, who would then be taxed to pay the tax or contest the assessment.

Effective immediately, all requests for approval of outside activities must be reviewed in accordance with the statutory provisions of 26 U.S.C. § 4941. The competitive level of the individual requesting approval must be considered in conjunction with an analysis of the nature of the private entity affording the benefits of the foundation or the individual, or both. No approval of the individual's participation in an act of self-dealing will be granted where the individual's participation in an act of self-dealing will be self-dealing; he is not excused if he acts without any such knowledge of the facts involved. Federal law governing self-dealing, and the negligence law make it necessary to attempt to ascertain whether the act is an act of self-dealing or not in fact means that it is an act of self-dealing. Treas. Reg. § 53.4941 (a)(1)-1(d)(2). The burden is on the individual to determine whether the act is an act of self-dealing or not. Since it is not an act of self-dealing within the meaning of the statute, the employee will not be subjected to the tax. Treas. Reg. § 53.4941 (a)(1)-1(d)(2).

The NIH Ethics of the Legal Adviser has reviewed and concurs in this opinion.

Robert Levine, Stephen Borawitz

[1] When a tax is imposed on a self-dealer, a corresponding tax of 3.5 percent is imposed on any foundation manager unless the participation by the foundation manager is not willful and is due to reasonable care. 26 U.S.C. § 4941(b)(2). A maximum tax of $10,000 may be imposed. 26 U.S.C. § 4941 (c)(2).

[2] The "taxable period" is defined as the period beginning with the date on which the act of self-dealing occurs, ending on the earlier of: the date that a deficiency notice is mailed by the IRS or the date that the tax is assessed by the IRS or the date on which the remittance of the act of self-dealing is completed. 26 U.S.C. § 4941 (p)(1). Treas. Reg. § 53.4941 (a)(1)-1(b)(1). As with the initial tax, a corresponding additional tax of 30 percent will be imposed on any foundation manager who refuses to agree to the correction. 26 U.S.C. § 4941 (b)(1). As with the initial tax, the penalty on a foundation manager is limited to $50,000. 26 U.S.C. § 4941 (c)(2).

[3] The statute also contains "self-dealing" to include: the sale or exchange, or leasing of facilities; payments to a disqualified person or entity in 26 U.S.C. § 4946 (d) (such as substantial contributions, foundation managers, holders of 20 percent or more voting power or beneficial interests, family members of disqualified individuals, or a corporation, partnership, or trust holding a 30 percent interest); and transfer to or use by a disqualified person of the foundation's income or assets. 26 U.S.C. § 4941 (d).

[4] 18 U.S.C. § 223 (c)(2) (c) defines "special Government employee" as temporary employee appointed for a term not to exceed 30 days, a part-time, U.S. officer, or magistrate, a part-time member of Congress, or a Reserve or National Guard officer.

http://ethics.od.nih.gov/Topics/RS509.htm

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5/28/2009