



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 2/1/2022 - 2/1/2023 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.

A handwritten signature in cursive script, appearing to read "A. Matwodyn".

(Signature)

January 19, 2022

(Date)



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 9/27 -10/26/2021 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.

A handwritten signature in black ink, appearing to be "K. J. [unclear]".

(Signature)

September 3 2021

(Date)



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 9/27/2021-10/26/2021 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.

Sarah West

Digitally signed by Sarah West
DN: cn=Sarah West, o, ou,
email=smw10@nyu.edu, c=US
Date: 2021.09.06 13:34:14 -0400'

(Signature)

9/6/2021

(Date)




UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 9/27/2021 – 10/26/2021 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.

(Signature) 

September 1, 2021

(Date)



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 9/27/2021 – 10/26/2021 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.



(Signature)

09/02/2021

(Date)

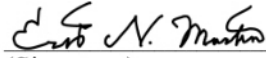


UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 09/27/2021 - 09/27/2022 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.



(Signature)

08/31/2021

(Date)



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 9/27/2021 – 10/26/2021 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.



(Signature)

06/09/2021

(Date)



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 1-1-22 to 12-31-22 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.


(Signature)

1/26/22
(Date)



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

April 28, 2022

Dr. Andrea M. Matwyszyn:

Congratulations! You have been selected to serve as an Expert/Senior Special Advisor at the Federal Trade Commission in the Bureau of Consumer Protection in Washington, DC.

FTC's mission is to prevent business practices that are anticompetitive, deceptive or unfair to consumers; to enhance informed consumer choice and public understanding of the competitive process; and to accomplish this without unduly burdening legitimate business activity. FTC is structured in several different organizational areas: Bureau of Competition, Bureau of Consumer Protection, Bureau of Economics, Office of the Executive Director, and Human Capital Management Office, to name a few. We look forward to you assisting with our mission.

You are invited to participate in FTC's virtual new employee orientation on Monday, May 9, 2022 (a calendar invitation will be sent separately). You will receive important first day information regarding the FTC and required training from the Ethics Office. You will also receive a presentation from the Office of the Chief Information Officer regarding the use of FTC computer equipment.

Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.

Stephanie F. Smith

Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

September 24, 2021

Mr. Erik Martin:

Congratulations! You have been selected to serve as a Technology Advisor at the Federal Trade Commission in the Office of Policy Planning in Washington, DC.

FTC's mission is to prevent business practices that are anticompetitive, deceptive or unfair to consumers; to enhance informed consumer choice and public understanding of the competitive process; and to accomplish this without unduly burdening legitimate business activity. FTC is structured in several different organizational areas: Bureau of Competition, Bureau of Consumer Protection, Bureau of Economics, Office of the Executive Director, and Human Capital Management Office, to name a few. We look forward to you assisting with our mission.

You are invited to participate in FTC's virtual new employee orientation on Monday, September 27, 2021 (a calendar invitation will be sent separately). You will receive important first day information regarding the FTC and required training from the Ethics Office. You will also receive a presentation from the Office of the Chief Information Officer regarding the use of FTC computer equipment.

Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.

Stephanie F. Smith

Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION

WASHINGTON, D.C. 20580

Human Capital Management Office

September 24, 2021

Ms. Kathy Pham:

Congratulations! You have been selected to serve as a Technology Advisor at the Federal Trade Commission in the Office of Policy Planning in Washington, DC.

FTC's mission is to prevent business practices that are anticompetitive, deceptive or unfair to consumers; to enhance informed consumer choice and public understanding of the competitive process; and to accomplish this without unduly burdening legitimate business activity. FTC is structured in several different organizational areas: Bureau of Competition, Bureau of Consumer Protection, Bureau of Economics, Office of the Executive Director, and Human Capital Management Office, to name a few. We look forward to you assisting with our mission.

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Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.

Stephanie F. Smith

Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

October 22, 2021

Mr. Alejandro Calcano:

Congratulations! You have been selected to serve as a Technology Advisor at the Federal Trade Commission in the Office of Policy Planning in Washington, DC.

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You are invited to participate in FTC's virtual new employee orientation on Monday, October 25, 2021 (a calendar invitation will be sent separately). You will receive important first day information regarding the FTC and required training from the Ethics Office. You will also receive a presentation from the Office of the Chief Information Officer regarding the use of FTC computer equipment.

Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.

A handwritten signature in blue ink, appearing to read "Stephanie F. Smith".

Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



Human Capital Management Office

UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

October 22, 2021

Ms. Amba Kak:

Congratulations! You have been selected to serve as a Technology Advisor at the Federal Trade Commission in the Office of Policy Planning in Washington, DC.

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Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.

A handwritten signature in blue ink, appearing to read "Stephanie F. Smith".

Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

October 22, 2021

Mr. John Kwoka:

Congratulations! You have been selected to serve as a Technology Advisor at the Federal Trade Commission in the Office of Policy Planning in Washington, DC.

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Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.

A handwritten signature in blue ink that reads "Stephanie F. Smith".

Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



Human Capital Management Office

UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

October 22, 2021

Ms. Meredith Whittaker:

Congratulations! You have been selected to serve as a Technology Advisor at the Federal Trade Commission in the Office of Policy Planning in Washington, DC.

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Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.

A handwritten signature in blue ink that reads "Stephanie F. Smith".

Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION

WASHINGTON, D.C. 20580

Human Capital Management Office

October 22, 2021

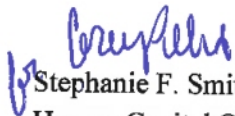
Ms. Sarah West:

Congratulations! You have been selected to serve as a Technology Advisor at the Federal Trade Commission in the Office of Policy Planning in Washington, DC.

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Welcome to the agency and thank you again, for your willingness to donate your time, energy, and skills to FTC's extremely important mission.


Stephanie F. Smith, Director
Human Capital Operations
Federal Trade Commission



January 27, 2022

Spencer Waller

(b)(6)

Dear Mr. Waller,

We are pleased to extend a final offer of employment as an Unpaid Expert/Advisor at the Federal Trade Commission, Office Of Policy Planning, located in Washington, District Of Columbia. Your appointment will be effective on Monday, January 31, 2022.

Due to the current COVID-19 emergency, HCMO will conduct an abbreviated, virtual orientation schedule on Monday, January 31, 2022. To adhere to the rules of social distancing, ensure the safety of our new employees, and reduce possible exposure of COVID-19 to our FTC staff, orientation will be provided via Zoom. You will receive a meeting invitation to the email address you provided that includes a link to the Zoom and login information. Additional onboarding information will be accessible on HCMO's Welcome to the FTC intranet page.

Congratulations on your new appointment and welcome to the Federal Trade Commission! If you have any questions, please do not hesitate to contact me.

Sincerely,
//SIGNED//
Stephanie F. Smith, Director

Human Capital Operations

SSMITH4@FTC.GOV

(202) 326-3010



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 10/11/21 - 10/11/22 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.

Julius E. Kunkel, Jr.
(Signature)

Oct 1, 2021
(Date)

QUARTERLY REVIEWS OF EXPERT/CONSULTANT

IDENTIFICATION (to be completed by employing office)

1. NAME OF EXPERT/CONSULTANT (Last, First, Middle) Kwoka, John	2. DATES OF CURRENT APPOINTMENT Beginning 10/25/2021 End 10/25/2022
3. SUMMARY OF DUTIES (Describe in enough detail to show that work performed requires the services of an expert/consultant. Use the other side if necessary.) The assignee serves as an Advisor and Chief Economist to the Chair, and acts as a visionary leader on economic issues related to the FTC's law enforcement activities, and consumer protection and antitrust missions. The assignee works together with staff and attorneys throughout the FTC to provide case support (investigation and litigation), policy research and development, competition and consumer advocacy. The assignee plays an integral role in the Commission's strategic direction and advise the Chair and senior Commission leaders on economic issues required to advance the agency's mission.	

REVIEW OF QUARTER ENDING DEC. 31, 2021. NUMBER OF DAYS WORKED:

I CERTIFY THAT THE EXPERT/CONSULTANT IS STILL NEEDED AND IS PERFORMING

THE SAME DUTIES (Item 3 above) DIFFERENT DUTIES AS DESCRIBED ON THE OTHER SIDE

SALARY WILL CONTINUE AT

SAME RATE OF \$0 NEW RATE OF _____ (Use other side for explanation and attach SF 52.)

EMPLOYMENT WILL CONTINUE THROUGH THE NEXT QUARTER ENDING MAR 31

YES (Attach SF 52 only for conversion to new appointment) NO (Attach SF 52 to terminate appointment)

SIGNATURE OF OFFICE HEAD OR DESIGNEE (Headquarters) OR REGIONAL DIRECTOR (Regional Offices) DATE

Jennifer Howard

REVIEW OF QUARTER ENDING MAR. 31, 2022. NUMBER OF DAYS WORKED:

I CERTIFY THAT THE EXPERT/CONSULTANT IS STILL NEEDED AND IS PERFORMING

THE SAME DUTIES (Item 3 above) DIFFERENT DUTIES AS DESCRIBED ON THE OTHER SIDE

SALARY WILL CONTINUE AT

SAME RATE OF _____ NEW RATE OF _____ (Use other side for explanation and attach SF 52.)

EMPLOYMENT WILL CONTINUE THROUGH THE NEXT QUARTER ENDING JUN 30

YES (Attach SF 52 only for conversion to new appointment) NO (Attach SF 52 to terminate appointment)

SIGNATURE OF OFFICE HEAD OR DESIGNEE (Headquarters) OR REGIONAL DIRECTOR (Regional Offices) DATE

ELIZABETH WILKINS
Digitally signed by ELIZABETH WILKINS
Date: 2022.04.19 11:56:57 -04'00'

REVIEW OF QUARTER ENDING JUN. 30, 2022. NUMBER OF DAYS WORKED:

I CERTIFY THAT THE EXPERT/CONSULTANT IS STILL NEEDED AND IS PERFORMING

THE SAME DUTIES (Item 3 above) DIFFERENT DUTIES AS DESCRIBED ON THE OTHER SIDE

SALARY WILL CONTINUE AT

SAME RATE OF _____ NEW RATE OF _____ (Use other side for explanation and attach SF 52.)

EMPLOYMENT WILL CONTINUE THROUGH THE NEXT QUARTER ENDING SEP 30

YES (Attach SF 52 only for conversion to new appointment) NO (Attach SF 52 to terminate appointment)

SIGNATURE OF OFFICE HEAD OR DESIGNEE (Headquarters) OR REGIONAL DIRECTOR (Regional Offices) DATE

REVIEW OF QUARTER ENDING SEP. 30, 2022. NUMBER OF DAYS WORKED:

I CERTIFY THAT THE EXPERT/CONSULTANT IS STILL NEEDED AND IS PERFORMING

THE SAME DUTIES (Item 3 above) DIFFERENT DUTIES AS DESCRIBED ON THE OTHER SIDE

SALARY WILL CONTINUE AT

SAME RATE OF _____ NEW RATE OF _____ (Use other side for explanation and attach SF 52.)

EMPLOYMENT WILL CONTINUE THROUGH THE NEXT QUARTER ENDING DEC 31

YES (Attach SF 52 only for conversion to new appointment) NO (Attach SF 52 to terminate appointment)

SIGNATURE OF OFFICE HEAD OR DESIGNEE (Headquarters) OR REGIONAL DIRECTOR (Regional Offices) DATE

TO BE COMPLETED UPON TERMINATION OF EXPERT/CONSULTANT SERVICES

I CERTIFY THAT THE SERVICES PROVIDED BY THE ABOVE EXPERT/CONSULTANT WERE

OUTSTANDING SATISFACTORY UNSATISFACTORY

SHOULD THE SERVICES OF THIS EXPERT/CONSULTANT BE DESIRED AGAIN, I WOULD

RECOMMEND REAPPOINTMENT NOT RECOMMEND REAPPOINTMENT

SIGNATURE DATE



UNITED STATES OF AMERICA
FEDERAL TRADE COMMISSION
WASHINGTON, D.C. 20580

Human Capital Management Office

WAIVER OF COMPENSATION

In connection with my service as an Public Service Consultant with the Federal Trade Commission, I understand that I will work during the period of 2021 Sept 27 - 2022 Sept 27 without compensation, and I hereby agree to waive any and all claims against the Government for salary or wages on account of service performed.

A handwritten signature in cursive script, appearing to read "Kathy Pham Evans".

(Signature)

Kathy Pham Evans (Kathy Pham, preferred)

2021 Aug 30

(Date)

JUSTIFICATION AND APPROVAL OF EMPLOYMENT OF EXPERT/CONSULTANT

IDENTIFICATION (to be completed by originating office)

1. NAME OF EXPERT/CONSULTANT (Last, First, Middle) Alejandro Calcaño	2. POSITION TITLE Advisor	3. CURRENT SALARY	4. SALARY REQUESTED 0.00
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5. SUMMARY OF DUTIES (Describe in enough detail to show the work to be performed requires the services of an expert/consultant. Use other side, if necessary.)

The position is located in the Office of Policy Planning (OPP), FTC, Washington, DC. In accordance with 5 C.F.R. § 304: Expert and Consultant Appointments, the assignee will serve as a Technology Advisor, and act as a key source of technical and policy expertise to facilitate visionary strategic initiatives related to the Commission's approach on governing emerging technologies, as well as enhancing the Commission's technology operations. As an authority on and recognized expert in technology research, software engineering, and artificial intelligence, the assignee will advise the Chief Technologist, senior Commission leaders, and case teams on the latest developments in emerging technology and related policy issues, and guide leaders on the technologies required to advance the agency's mission. Having wide latitude of responsibility for providing advice and assistance on matters encompassing technology, engineering, and artificial intelligence, the assignee will leverage his or her deep first-hand expertise to equip the agency with the institutional knowledge it requires in order to bolster and scale its capacity to govern emerging technologies.

6. SUMMARY OF QUALIFICATIONS (Describe in enough detail to show that the expert/consultant has the kind and level of experience required for the work to be performed. Use other side, if necessary.)

Alejandro currently serves as the Special Projects and Communications Lead, supporting the operational and strategic growth of the AI Now Institute. He consulted with the founding team on the first AI Now Symposium in 2016, and since then has worked closely with the Leadership Team on event production and various research projects. Previously he worked as Research, Design and Production Associate at Sunny Bates Associates, a firm connecting the people and ideas shaping the future. Alejandro grew up in Caracas, Venezuela, and received his BA in Media Studies from Vassar College. The expertise that Alejandro has developed in the ethics of artificial intelligence positions him to research and amplify emerging FTC efforts to ensure that regulated corporations leverage machine learning and artificial intelligence responsibly and without harming consumers. Alejandro will play an integral role in the Commission's strategic direction by leveraging his deep technical expertise and operational experience to provide advice and assistance on major technology research initiatives, as well as matters in litigation, and to guide programs and policies that enhance the effectiveness of the Commission's technology operations.

7. COMPLETE THIS ITEM ONLY FOR CONVERSION TO NEW APPOINTMENT

Intermittent employment totaled _____ days in a pay status from _____ to _____ (mm/dd/yy) of the previous service year.

8. IS/WAS (within the last two (2) years) THE EXPERT/CONSULTANT UNDER CONTRACT WITH THE FEDERAL TRADE COMMISSION?

No Yes. If Yes, provide contract number. _____

9. REQUESTED BY Stephanie Nguyen	10. TELEPHONE NUMBER
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11. BUREAU/OFFICE Office of Policy Planning	12. DIVISION
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APPROVALS

13. I certify that the expert/consultant will be assigned only the duties described above. Duties will not include the performance or the supervision of operating functions. I also certify that the Statement of Employment and Financial Interests has been reviewed in terms of the duties stated above, and no conflict of interests exists.

SIGNATURE OF ASSISTANT DIRECTOR (Headquarters) OR REGIONAL DIRECTOR (Regional Offices) _____ DATE _____

SIGNATURE OF BUREAU/OFFICE HEAD _____ DATE _____

Stephanie T. Nguyen

Digitally signed by Stephanie T. Nguyen
Date: 2021.10.23 00:00:27 -0400

14. Expert/Consultant has certified that no conflict exists via the Confidential Conflict of Interest Statement (alternative to OGE Form 450).

SIGNATURE OF AGENCY ETHICS OFFICIAL _____ DATE _____

LORIELLE PANKEY

Digitally signed by LORIELLE PANKEY
Date: 2021.10.25 07:17:38 -0400

15. FOURTH QUARTER APPROVAL

OFFICE OF THE EXECUTIVE DIRECTOR REPRESENTATIVE _____ TITLE _____ DATE _____

DAVID ROBBINS

Digitally signed by DAVID ROBBINS
Date: 2021.10.25 11:32:26 -0400

executive director

10/25/2021

16. I certify that: a) this expert/consultant position is necessary;
b) the position is Intermittent (has no regular tour of duty) Temporary (has a regular tour of duty);
c) the daily rate of \$ _____ is commensurate with the work to be performed and the appointee's qualifications;
d) all requirements of law have been met.

SIGNATURE OF CHIEF HUMAN CAPITAL OFFICER _____ DATE _____

VICKI BARBER

Digitally signed by VICKI BARBER
Date: 2021.11.08 12:01:41 -0500

11/08/2021

AMENDMENT TO FTC-189 (JUSTIFICATION AND APPROVAL OF EMPLOYMENT OF EXPERT/CONSULTANT) AND FTC-244 (QUARTERLY REVIEWS FOR EXPERT/CONSULTANT) FOR ALEJANDRO CALCANO

The FTC is amending the statement of duties (Box 5) on Alejandro Calcano’s form FTC-189 (Justification and Approval of Employment of Expert/Consultant) approved on November 8, 2021 to reflect the actual duties performed and the limitations imposed on Mr. Calcano’s work during his tenure at the FTC. The corresponding summary of duties in Box 3 on form FTC-244 (Quarterly Reviews of Expert/Consultant) for this appointment, was copied directly from the FTC-189 form and is also hereby amended. Although Mr. Calcano’s original statement of duties in the FTC-189 and FTC-244 forms encompassed a broader and more flexible range of responsibility, his actual duties are summarized below:

The position is located in the Office of Policy Planning, FTC, Washington, DC. In accordance with 5 C.F.R. part 304: Expert and Consultant Appointments, the assignee will serve as an expert on technology research strategy and implementation. In particular, he will work together with staff to provide support on the agency’s tech matters that relate to antitrust and consumer protection conduct, policy and enforcement. He will bring his expertise on the ethics of artificial intelligence and tech research strategy and implementation to bear on several key project areas in which he would review and support the advancement of work product which would include: (1) collaborating closely with staff and leadership to provide support on work product related to emerging tech issues and market development trends that could lead to enforcement efforts and (2) providing relevant advice and assistance on technology research. Given the assignee’s expertise, he will bring an outside point of view to the agency, to avoid too limited judgment on administrative or technical issues. Although the assignee will support policy development with expert technical perspective, he will not be responsible for the determination of agency policy (i.e., determining the content and application of regulations), do work of an ongoing nature more appropriately performed by the agency’s regular employees, or perform managerial or supervisory work.

SIGNED:

ELIZABETH
WILKINS

Digitally signed by
ELIZABETH WILKINS
Date: 2022.08.26 12:53:42
-04'00'

Elizabeth Wilkins
Director, Office of Policy and Planning

MONIQUE
FORTENBERRY

Digitally signed by
MONIQUE FORTENBERRY
Date: 2022.08.26 15:28:51
-04'00'

Monique Fortenberry
Acting Chief Human Capital Officer

DAVID
ROBBINS

Digitally signed by DAVID
ROBBINS
Date: 2022.08.26 14:14:12
-04'00'

David Robbins
Executive Director

ETHICS APPROVAL:

Expert/Consultant has certified that no conflict exists via the Confidential Conflict of Interest Statement (OGE Form 450).

LORIELLE
PANKEY

Digitally signed by
LORIELLE PANKEY
Date: 2022.08.26
15:39:38 -04'00'

Lorielle L. Pankey
Designated Agency Ethics Official

JUSTIFICATION AND APPROVAL OF EMPLOYMENT OF EXPERT/CONSULTANT

IDENTIFICATION (to be completed by originating office)

1. NAME OF EXPERT/CONSULTANT (Last, First, Middle) Amba Kak	2. POSITION TITLE Technology Advisor	3. CURRENT SALARY	4. SALARY REQUESTED 0.0
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5. SUMMARY OF DUTIES (Describe in enough detail to show the work to be performed requires the services of an expert/consultant. Use other side, if necessary.)

The position is located in the Office of Public Policy (OPP), FTC, Washington, DC. The assignee will serve as a Technology Advisor, and act as a key source of technical and policy expertise to facilitate visionary strategic initiatives related to the Commission's approach on governing emerging technologies, as well as enhancing the Commission's technology operations. As an authority on and recognized expert in technology research, software engineering, and artificial intelligence, the assignee will advise the Chief Technologist, senior Commission leaders, and case teams on the latest developments in emerging technology and related policy issues, and guide leaders on the technologies required to advance the agency's mission. Having wide latitude of responsibility for providing advice and assistance on matters encompassing technology, engineering, and artificial intelligence, the assignee will leverage his or her deep first-hand expertise to equip the agency with the institutional knowledge it requires in order to bolster and scale its capacity to govern emerging technologies.

6. SUMMARY OF QUALIFICATIONS (Describe in enough detail to show that the expert/consultant has the kind and level of experience required for the work to be performed. Use other side, if necessary.)

Amba Kak currently serves as the Director for Global Policy and Programs at NYU's AI Now Institute, where she develops and leads AI Now's global policy engagement initiatives, research programs, and partnerships. In this role, she spearheads the development and implementation of a research and policy agenda around AI ethics and responsibility, ensuring that it is relevant to a broad set of stakeholders across sectors, regions, and functions. The expertise that Amba has developed in the ethics of artificial intelligence, and knowledge she holds on the diverse interests of the stakeholders in this area, perfectly position her to lead the FTC's emerging efforts to ensure that regulated corporations leverage these latest technologies in a socially responsible way, including by not unfairly harming consumers. Furthermore, her experience at the intersection of technology and law—including serving as a Fellow at NYU School of Law and as a Technology Policy Fellow and Advisor at the Mozilla Foundation—has prepared her to advise senior Commission leaders on innovative legal theories that the FTC can leverage to better protect consumers in digital markets.

7. COMPLETE THIS ITEM ONLY FOR CONVERSION TO NEW APPOINTMENT

Intermittent employment totaled _____ days in a pay status from _____ to _____ (mm/dd/yy) of the previous service year.

8. IS/WAS (within the last two (2) years) THE EXPERT/CONSULTANT UNDER CONTRACT WITH THE FEDERAL TRADE COMMISSION?

No Yes. If Yes, provide contract number. _____

9. REQUESTED BY Erie Meyer, CTO	10. TELEPHONE NUMBER
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11. BUREAU/OFFICE Office of Public Policy	12. DIVISION
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APPROVALS

13. I certify that the expert/consultant will be assigned only the duties described above. Duties will not include the performance or the supervision of operating functions. I also certify that the Statement of Employment and Financial Interests has been reviewed in terms of the duties stated above, and no conflict of interests exists.

SIGNATURE OF ASSISTANT DIRECTOR (Headquarters) OR REGIONAL DIRECTOR (Regional Offices) _____ DATE _____

SIGNATURE OF BUREAU/OFFICE HEAD
ERIE MEYER
Digitally signed by ERIE MEYER
Date: 2021.09.08 17:03:25 -04'00'

14. Expert/Consultant has certified that no conflict exists via the Confidential Conflict of Interest Statement (alternative to OGE Form 450).

SIGNATURE OF AGENCY ETHICS OFFICIAL
LORIELLE PANKEY
Digitally signed by LORIELLE PANKEY
Date: 2021.09.23 10:50:57 -04'00'

15. FOURTH QUARTER APPROVAL
OFFICE OF THE EXECUTIVE DIRECTOR REPRESENTATIVE
DAVID ROBBINS
Digitally signed by DAVID ROBBINS
Date: 2021.09.23 13:43:25 -04'00'

16. I certify that:
a) this expert/consultant position is necessary;
b) the position is Intermittent (has no regular tour of duty) Temporary (has a regular tour of duty);
c) the daily rate of \$ 0.00 is commensurate with the work to be performed and the appointee's qualifications;
d) all requirements of law have been met.

SIGNATURE OF CHIEF HUMAN CAPITAL OFFICER
VICKI BARBER
Digitally signed by VICKI BARBER
Date: 2021.11.08 12:06:17 -05'00'

AMENDMENT TO FTC-189 (JUSTIFICATION AND APPROVAL OF EMPLOYMENT OF EXPERT/CONSULTANT) AND FTC-244 (QUARTERLY REVIEWS FOR EXPERT/CONSULTANT) FOR AMBA KAK

The FTC is amending the statement of duties (Box 5) on Amba Kak’s form FTC-189 (Justification and Approval of Employment of Expert/Consultant) approved on November 8, 2021 to reflect the actual duties performed and the limitations imposed on Ms. Kak’s work during her tenure at the FTC. The corresponding summary of duties in Box 3 on form FTC-244 (Quarterly Reviews of Expert/Consultant) for this appointment, was copied directly from the FTC-189 form and is also hereby amended. Although Ms. Kak’s original statement of duties in the FTC-189 and FTC-244 forms encompassed a broader and more flexible range of responsibility, her actual duties are summarized below:

The position is located in the Office of Policy Planning, FTC, Washington, DC. In accordance with 5 C.F.R. part 304: Expert and Consultant Appointments, the assignee will serve as an expert on evolving technology issues. In particular, she will work together with staff to provide advice on the agency’s tech matters that relate to antitrust and consumer protection conduct, policy and enforcement. She will bring her expertise in artificial intelligence, international technology and law, and technology platforms and systems to bear on several key project areas in which she would advise via written research and memos and review and support the advancement of work product which would include: (1) supporting Bureau staff on cases and enforcement matters, (2) collaborating closely with staff and leadership to provide insights on emerging tech issues and market development trends that could lead to enforcement efforts, and (3) providing technical subject matter expertise and technical assistance as a resource to agency staff on markets and technologies. Given the assignee’s expertise, she will bring an outside point of view to the agency, to avoid too limited judgment on administrative or technical issues. Although the assignee will support policy development with expert technical perspective, she will not be responsible for the determination of agency policy (i.e., determining the content and application of regulations), do work of an ongoing nature more appropriately performed by the agency’s regular employees, or perform managerial or supervisory work.

SIGNED:

**ELIZABETH
WILKINS**

Digitally signed by
ELIZABETH WILKINS
Date: 2022.08.26 12:55:38
-04'00'

Elizabeth Wilkins
Director, Office of Policy and Planning

MONIQUE
FORTENBERRY

Digitally signed by
MONIQUE FORTENBERRY
Date: 2022.08.26 15:30:27
-04'00'

Monique Fortenberry
Acting Chief Human Capital Officer

DAVID
ROBBINS

Digitally signed by DAVID
ROBBINS
Date: 2022.08.26 14:17:01
-04'00'

David Robbins
Executive Director

ETHICS APPROVAL:

Expert/Consultant has certified that no conflict exists via the Confidential Conflict of Interest Statement (OGE Form 450).

LORIELLE
PANKEY

Digitally signed by LORIELLE
PANKEY
Date: 2022.08.26 15:37:01
-04'00'

Lorielle L. Pankey
Designated Agency Ethics Official

John E. Kwoka, jr.

Address: (b)(6) **Phone:** (b)(6)
Fax:
Email:
Web:

Current Positions:

Chief Economist to the Chair, Federal Trade Commission
Neal F. Finnegan Distinguished Professor of Economics, Northeastern University (on leave)
Board of Directors, Industrial Organization Society
Editorial Board, Review of Industrial Organization

Previous Academic Positions:

Professor of Economics, George Washington University, 1981-2001
Columbian Professor, 2001
Research Professor, 2001-2003
Faculty Associate in Public Policy, George Washington University, 1983-2001
Visiting Professor of Economics, Harvard University, 1994-95
Visiting Associate Professor of Economics, Northwestern University, 1980-81
Assistant Professor of Economics, University of North Carolina at Chapel Hill, 1972-75
Instructor, Lecturer in Economics, University of Pennsylvania, 1970-72

Previous Professional Positions:

Advisory Board, Journal of Industrial and Business Economics (2014-21)
Board of Directors and Senior Fellow, American Antitrust Institute (1999-2021)
Academic Advisory Board, Open Markets Institute (2019-21)
Non-Governmental Advisor, International Competition Network (2010-21)
Advisory Board, Competition Policy International (2020-21)
Member, Advisory Council to the Competition Commission of Mauritius, 2012
Guest Scholar, Amsterdam Center for Law and Economics, University of Amsterdam, Fall 2008
ENCORE Fellow, University of Amsterdam, 2003-09
General Editor, Review of Industrial Organization, 2001-04
Vice President, Southern Economic Association, 2000-02
Fellow, Center for Business and Government, Kennedy School, Harvard, Summer 2000
Founder and Co-Director, GWU Research Program on Industry Economics and Policy, 1996-2001
Guest Scholar, Brookings Institution, 1995
Special Assistant to the Chief, Common Carrier Bureau, Federal Communications Commission, 1987-88

Associate Editor, Journal of Industrial Economics, 1990-95, 1998-2001
Editorial Board, Review of Industrial Organization, 1983-2001
President, Industrial Organization Society, 1998-99
Board of Editors, Journal of Media Economics: 1987-96
Advisory Board, Antitrust Law and Economics Review: 1985-90
Economist, Economic Policy Office, Department of Justice Antitrust Division, 1985
Economist, Bureau of Economics, Federal Trade Commission, 1975-81
Economic Policy Fellow, Brookings Institution, 1975-76

Education:

Ph.D. in Economics, University of Pennsylvania, 1972
A.B. in Economics, cum laude, Brown University, 1967
Rensselaer Polytechnic Institute, 1963 (transferred)

PUBLICATIONS

Books:

Antitrust Economics in a Time of Upheaval, co-edited with T. Valletti and L. White, CPI, forthcoming

Controlling Mergers and Market Power: A Program for Reviving Antitrust in America, CPI Publishing, 2020

Mergers, Merger Control, and Remedies: A Retrospective Analysis of U.S. Policy, MIT Press, 2015, second printing 2018

The Antitrust Revolution, co-edited with Lawrence J. White:

7th ed., Oxford University Press, 2019

6th ed., Oxford University Press, 2014

5th ed., Oxford University Press, 2009

Translated into Chinese by Ping Lin and X. H. Zang, Economic Science Press of China, Beijing (2008)

4th ed., Oxford University Press, 2004

Translated into Chinese by Ping Lin and X. H. Zang, Economic Science Press of China, Beijing (2008)

3rd ed., Oxford University Press, 1999

2nd ed., HarperCollins, 1994

1st ed., Scott, Foresman, 1989.

Power Structure: Ownership, Integration, and Competition in the U.S. Electricity Industry, Kluwer, 1996.

Articles:

“Unscrambling the Eggs: Breaking Up Consummated Mergers and Dominant Firms,” with T. Valletti, Industrial and Corporate Change, August 2021.

“The Promise and Perils of Conduct Remedies in Merger Review,” in Albert A. Foer Liber Amicorum, Nicholas Charbit, ed., Concurrences, New York, 2020.

“Raising Rivals’ Costs by Customer Diversion: The Case of Airline Baggage Fees,” with P. Wang, Journal of International Economics and Business,” v. 17, Issue 3, 2020.

“You Say You Want an Antitrust Revolution? The Paradox of Modern Merger Control,” Antitrust Bulletin, Summer 2020.

“The ‘antitrust revolution’ and *The Antitrust Revolution: A perspective from the inside*,” with L.J. White, Antitrust Bulletin, Summer 2020.

“Merger Remedies: Firm Incentives versus Agency Objectives,” in Remedies in EU Competition Law: Substance, Process, and Policy, Damien Gerard and Assimakis Komninos, eds. Wolters Kluwer, 2020.

“Second Thoughts on Double Marginalization,” with Margaret Slade, Antitrust, Spring 2020.

“Strategic Responses to Competitive Threats: Airlines in Action,” with B. Batkeyev, Review of Industrial Organization, February 2019.

“Non-Price Effects of Mergers: Issues and Evidence,” with S. Kilpatrick, Antitrust Bulletin, April 2018

“The Effects of Mergers on Innovation: Economic Framework and Empirical Evidence,” in The Roles of Innovation in Competition Law Analysis, Paul Nihoul and Pieter Van Cleynenbreuge, eds., Edward Elgar, 2018.

“The Structural Presumption and the Safe Harbor in Merger Review: False Positives or Unwarranted Concerns?” Antitrust Law Journal, December 2017

“Merger Remedies: An Incentives/Constraints Framework,” Antitrust Bulletin, June 2017

“From the Fringe to the Forefront: Low-Cost Carriers and Airline Price Determination,” with K. Hearle and P. Alepin, Review of Industrial Organization, March 2016.

“The Changing Nature of Efficiencies in Mergers and in Merger Analysis,” Antitrust Bulletin, September 2015.

“Predicting Merger Outcomes: The Accuracy of Stock Market Event Studies, Market Structure Characteristics, and Agency Decisions,” with C. Gu, Journal of Law & Economics, August 2015.

“Structure, Conduct, Policy, and Performance: The ‘Simple Model’ of F. M. Scherer,” Journal of Industrial and Business Economics, March 2014.

“Rockonomics: The Ticketmaster-Live Nation Merger and the Rock Concert Business,” in The Antitrust Revolution, J. Kwoka and L. White, eds., 2014, revised 2019

“Does Merger Control Work? A Retrospective on U.S. Enforcement Actions and Merger Outcomes,” Antitrust Law Journal, v. 78, n. 3, 2013.

“Behavioral Merger Remedies: Evaluation and Implications for Antitrust Enforcement,” with Diana Moss, Antitrust Bulletin, December 2012

“Mergers That Eliminate Potential Competition,” Research Handbook on the Economics of Antitrust Laws, Einer Elhauge, ed., Edward Elgar, 2012.

“Reflections on the Tenth Anniversary of the Antitrust and Regulatory Update,” Review of Industrial Organization, December 2011

“The Cost Structure of Regional Transmission Organizations,” with Daniel Greenfield, Energy Journal, v. 32, n., 2011.

“Price Spikes in Energy Markets: ‘Business by Usual Methods’ or Strategic Withholding?” with Vladlena Sabodash, Review of Industrial Organization, May 2011.

“The Price Effect of Eliminating Potential Competition: Evidence from an Airline Merger,” with Evgenia Shumilkina, Journal of Industrial Economics, December 2010.

“Incentive Regulation, Service Quality and Standards in U.S. Electricity Distribution,” with Anna Ter-Martiroyan, Journal of Regulatory Economics, December 2010.

“Do Mergers Improve Efficiency? Evidence from Restructuring the U.S. Electric Power Sector,” with Michael Pollitt, International Journal of Industrial Organization, November 2010.

“Divestiture Policy and Operating Efficiency in U.S. Electric Power Distribution,” with Michael Pollitt and Sanem Sergici, Journal of Regulatory Economics, June 2010.

“Competition Policy and the Transition to a Low-Carbon, Efficient Electricity Industry,” with Diana Moss, Electricity Journal, August-September 2010.

“The U.S. Auto Industry Under Duress: Fit, or Finished?” Competition Policy International, Autumn 2009.

“Restructuring the U.S. Electric Power Sector: A Review of Recent Studies,” Review of Industrial Organization, May 2008.

“Eliminating Potential Competition,” Issues in Competition Law and Policy, Dale Collins, ed., American Bar Association, 2008.

“The Proposed Merger of United Airlines and US Airways,” in A Revolucao do Antitruste no Brasil, Cesar Mattos, ed., Sao Paulo, Editora Singular, 2nd ed., 2008 (Portuguese).

“Making Markets Work,” with Kamen Madjarov, Electricity Journal, November 2007.

“F.M. Scherer,” in Pioneers of Industrial Organization, W.G. Shepherd and H. W. de Jong, eds., Edward Elgar, 2007.

“The Role of Competition in Natural Monopoly: Costs, Public Ownership, and Regulation,” Review of Industrial Organization, August-September 2006.

“Electric Power Distribution: Economies of Scale, Mergers, and Restructuring,” Applied Economics, Nov. 2005.

“The FTC and the Professions: A Quarter Century of Accomplishment and Some New Challenges,” Antitrust Law Journal, 2005.

“Networks and Natural Monopoly,” in Network Access, Regulation, and Antitrust, Diana Moss, ed., Routledge, 2005.

“Freight Railroads,” with L. J. White, in Network Access, Regulation, and Antitrust, Diana Moss, ed., Routledge, 2005.

“The Comparative Advantage of Public Ownership: Evidence from U.S. Electric Utilities,” Canadian Journal of Economics, May 2005.

“Dynamic Adjustment in the U.S. Higher Education Industry,” with Christopher Snyder, Review of Industrial Organization, May 2004.

“A Study in Merger Enforcement Transparency: The FTC’s Cruise Merger Decision and the Presumption Governing High Concentration Mergers,” with Warren Grimes, Antitrust Source, May 2003.

“The U.S. Automobile Industry: Overtaking an Oligopoly,” in Industry Studies, Larry Duetsch, ed., Prentice-Hall, 3rd ed., 2002; 2nd ed., 1998; 1st ed., 1993

"Twenty-five Years of Deregulation: Lessons for Electric Power," Loyola University Chicago Law Journal, Summer 2002.

"Governance Alternatives and Pricing in the U.S. Electric Power Industry," Journal of Law, Economics, & Organization, April 2002.

"Vertical Economies in Electric Power: Evidence on Integration and Its Alternatives," International Journal of Industrial Organization, May 2002

"Non-Incumbent Competition: Mergers Involving Constraining and Prospective Competitors," Case Western Reserve Law Review, Fall 2001.

"Automobiles: The Old Economy Meets the New," Review of Industrial Organization, August 2001.

"The New Industrial Organization and Small Business," with L. J. White, Small Business Economics, February 2001.

"Commitment to Competition: An Assessment of Antitrust Enforcement Budgets," IOS Presidential Address, Review of Industrial Organization, June 1999.

"Manifest Destiny? The Union Pacific-Southern Pacific Railroad Merger," in The Antitrust Revolution, with L. J. White, 4th ed., 2004; 3rd ed., 1999.

"Herfindahl Concentration with an Import Fringe and with Supply Constraints," Review of Industrial Organization, August 1998.

"Transforming Power: Lessons from British Electricity Restructuring," Regulation, Summer 1997

"The Price Effects of Bidding Conspiracies: Evidence from Real Estate Auction 'Knockouts'," Antitrust Bulletin, Summer 1997.

"Altering the Product Life Cycle of Consumer Durables: The Case of Minivans," Managerial and Decision Economics, January/February 1996.

"The Sales and Competitive Effects of Styling and Advertising Practices in the U.S. Automobile Industry," Review of Economics and Statistics, November 1993.

"Implementing Price Caps in Telecommunications," Journal of Policy Analysis and Management, Fall 1993.

"Regulation and Deregulation American Style," Sosyal Bilimler Dergisi, Fall 1993

"The Effects of Divestiture, Privatization, and Competition on Productivity in U.S. and U.K. Telecommunications," Review of Industrial Organization, no. 1, 1993

"The Effects of Divestiture, Privatization, and Competition on Productivity in U.S. and U.K. Telecommunications: A Briefer Reply," in Review of Industrial Organization, 1993.

"Market Segmentation by Price/Quality Schedules: Some Evidence from Automobiles," Journal of Business, October 1992.

"The Output and Profit Effects of Horizontal Joint Ventures," Journal of Industrial Economics, September 1992.

"The American Antitrust Revolution," Consumer Policy Review, July 1992.

"Price Squeezes in Electric Power: The New Battle of Concord," Electricity Journal, June 1992.

"Productivity and Price Caps in Telecommunications," in Price Caps and Incentive Regulation in Telecommunications, M. Einhorn, ed., Kluwer, 1991.

"Price Cap Reform in Telecommunications: A Penny Saved..." Regulation, Winter 1991.

"The Effect of Market Growth and Contraction on Industry Price-Cost Margins," Eastern Economic Journal, July-September 1990.

"The Private Profitability of Horizontal Mergers with Non-Cournot and Maverick Behavior," International Journal of Industrial Organization, Fall 1989.

"International Joint Venture: General Motors and Toyota," in The Antitrust Revolution, J. Kwoka and L.J. White, eds. Scott, Foresman, 1989; 2nd ed., HarperCollins, 1994.

"Design Criteria for Incentive Regulation," in Report of D.C. Public Service Commission on Symposium, "Competition and the Regulation of Telecommunications Services in the District of Columbia," December 1988.

"Accounting for Losses: The Great Detroit Newspaper War," Journal of Media Economics, Fall 1988.

"Cooperation vs. Rivalry: Price-Cost Margins by Line of Business," with David Ravenscraft, Economica, August 1986.

"Efficiencies, Failing Firms, and Alternatives to Merger: A Policy Synthesis," with Frederick R. Warren-Boulton, Antitrust Bulletin, Summer 1986.

- "Messy Merger Guidelines: A Comment," Antitrust Law and Economics Review, 1986
- "The Herfindahl Index in Theory and Practice," Antitrust Bulletin, Winter 1985.
- "Markets: A Magical Mystery Tour of Current Policy," Society, November/December 1984; reprinted in Thomas Swartz and Frank Bonello, Taking Sides (Duskin, 1986).
- "Market Power and Market Change in the U.S. Automobile Industry," Journal of Industrial Economics, June 1984.
- "Market Share Distribution and Industry Performance: A Reply," Review of Economics and Statistics, May 1984.
- "Output and Allocative Efficiency Under Second-Degree Price Discrimination," Economic Inquiry, April 1984.
- "Advertising and the Price and Quality of Optometric Services," American Economic Review, March 1984.
- "The Limits of Market-Oriented Regulatory Techniques: The Case of Automotive Fuel Economy," Quarterly Journal of Economics, November 1983.
- "Self-Regulation in Optometry: The Impact on Price and Quality," with R. Bond, J. Phelan, and I. Whitten, Law and Human Behavior, Vol. 7, Nos. 2/3, 1983.
- "Monopoly, Plant, and Union Effects on Manufacturing Wages," Industrial and Labor Relations Review, January 1983.
- _____, reprinted (in Spanish) in El Mercado de Trabajo y la Estructura Salarial, Centro de Publicaciones, Ministerio de Trabajo y Seguridad Social, Madrid, 1988.
- "Regularity and Diversity of Firm Size Distributions in U.S. Industries," Journal of Economics and Business, October 1982.
- "Does the Choice of Concentration Measure Really Matter?" Journal of Industrial Economics, June 1981.
- Effect of Restrictions on Advertising and Commercial Practice in the Professions: The Case of Optometry, with R. Bond, J. Phelan, and I. Whitten, FTC Staff Report, September 1980.
- "Establishment Size, Wages, and Job Satisfaction: The Trade-offs," in The Economics of Firm Size, Market Structure and Social Performance, Conference Proceedings, Federal Trade Commission, July 1980.

"EIS Market Share Data: Nature, Reliability, and Uses," Antitrust Law Journal, Vol. 47, No. 3, 1979.

"The Effect of Market Share Distribution on Industry Performance," Review of Economics and Statistics, February 1979.

_____, excerpt in Donald Watson and Malcolm Getz, Price Theory in Action, (Houghton Mifflin, 1981).

Market Shares, Concentration, and Competition in Manufacturing Industries. FTC Staff Report, August 1978.

"Regional Distribution of the 'Subsidy' Under Federal Milk Market Regulation," in Farm Size and Regional Distribution of the Benefit Under Federal Milk Market Regulation. FTC Staff Report by David R. Fronk, May 1978.

"Pricing Under Federal Milk Market Regulation," Economic Inquiry, July 1977.

"Large Firm Dominance and Price-Cost Margins in Manufacturing Industries," Southern Economic Journal, July 1977.

"The Organization of Work: A Conceptual Framework," Social Science Quarterly, December 1976.

"Federal Milk Market Regulation: The Multiple Pricing System," Proceedings, Conference on Milk Prices and the Market System, Community Nutrition Institute, Washington, D.C., January 1976.

"Optimal Policy When Effects on Distribution are Unknown," with James C. Ohls, Public Finance Quarterly, April 1975.

Book Reviews:

Economics of Beer, edited by Johan Swinnen, Journal of Wine Economics, 2013.

Mergers and Productivity, edited by Steven Kaplan, in the Journal of Economic Literature, June 2002.

Costs and Productivity in Automobile Production: The Challenge of Japanese Efficiency by Melvyn Fuss and Leonard Waverman, in Review of Industrial Organization, June 1994.

The Economics and Regulation of United States Newspapers by Stephen Lacy and Todd Simon, in Journal of Media Economics, no. 1, 1994.

Profits and the Stability of Monopoly by M. A. Utton, in The Antitrust Bulletin, Summer 1987.

The Japanese Automobile Industry by Michael Cusumano, in Journal of Economic History, June 1987.

Industrial Organization by Kenneth Clarkson and Roger Miller, in Antitrust Law and Economics Review, 1985 (No. 3).

Power and Market: Government and Economy by Murray Rothbard, in Southern Economic Journal, October 1978.

Policy Essays:

“Fix It or Forget It: A ‘No-Remedies’ Policy for Merger Enforcement,” with Spencer Waller, CPI Antitrust Chronicle, August 2021

“Competition—and Competition Policy—in Digital Markets: The House Report,” with Tommaso Valletti, Competition Policy International, January 2021.

“Unscrambling the Eggs: Merger Control in the New Administration,” with Tommaso Valletti, Concurrences, January 2021.

“Merger Remedies: Firm Incentives vs. Agency Objectives,” in Remedies in EU Competition Law, D. Gerard and A. Komninos, eds, Wolters Kluwer, 2020

“Conduct Remedies, with 2020 Hindsight: Have We Learned Anything in the Last Decade?” CPI Chronicle, 2020

“Restoring Antitrust, Restoring Competition,” CPI Chronicle, October 2019

“Competitive Edge: Structural Presumption in U.S. Merger Control Policy Would Strengthen Modern Antitrust Enforcement,” Washington Center for Equitable Growth, 2018

“Mergers, Merger Control, and Remedies: A Response to the Vita-Osinski Critique,” Antitrust Law Journal, 2018

“U.S. Antitrust and Competition Policy amid the New Merger Wave,” Washington Center for Equitable Growth, July 2017

“Squaring the Deal,” Milken Institute Review, 4th Quarter, 2017

“Evidence-Based Policy in Antitrust: The Need for Ongoing Merger Retrospectives,”

with M. Jarsulic, *ProMarket*, 2017.

“One-and-a-Half Cheers for the New FTC Remedies Study,” ssrn, 2017

“Mergers, Merger Control, and Remedies: A Response to the FTC Critique,” ssrn 2017

“Resetting Merger Policy in the New Administration,” with J. Farrell, Concurrences, 2016.

Monographs (not otherwise published):

“The Direct Costs and Benefits of US Electric Utility Divestitures,” with T. Triebs and M. Pollitt, EPRG Working Paper 1024, Cambridge University, Sept. 2010.

“Investment Adequacy Under Incentive Regulation,” Northeastern University Department of Economics Working Paper 09-001

“The Attack on Antitrust Policy and Consumer Welfare: A Response to Crandall and Winston,” Northeastern University Department of Economics Working Paper 03-008, June 2003

“Dynamic Adjustment in the Higher Education Industry, 1955-1997,” with Christopher Snyder, Northeastern University Department of Economics Working Paper 03-007, May 2003

“Unilateral Withholding: Market Power and California’s Electricity Crisis,” GWU Center for Economic Research Discussion Paper 01-01, May 2001

“Price Caps for Postal Service: Some Lessons and Some Limits,” GWU Center for Economic Research Discussion Paper 00-03, April 2000

“The Industrial Organization and Small Business,” with L. White, GWU Center for Economic Research Discussion Paper 00-02, March 2000

"Reform of the Electric Power Sector in Britain," GWU Center for Economic Research Discussion Paper 96-02, December 1996.

"The Origins and Purpose of Public Enterprise," GWU Center for Economic Research Discussion Paper 96-01, December 1996

"Privatization, Deregulation, and Competition: A Survey of Effects on Economic Performance," World Bank PSD Occasional Paper No. 27, September 1996.

"Policy and Productivity in the U.S. and U.K. Telecommunications Industries," GWU Department of Economics Discussion Paper D-9004, April 1990.

"Regulation American-Style: Heavy-Handed, Light-Handed, and (Sometimes) Off-Handed," March 1990.

"Unleashing Market Forces: Lessons from Deregulation of U.S. Industry," February 1990.

"Accounting for Losses: The Great Detroit Newspaper War," GWU Department of Economics Discussion Paper D-8809, February 1988.

"Antitrust Policy and Foreign Competition," GWU Department of Economics Discussion Paper D-8711, November 1984.

OTHER

Jerry S. Cohen Award for Best Structural Competition Article, 2019

Issue Editor, "Airline Deregulation," Review of Industrial Organization, February 2019

AAI Award for Best Antitrust Book of the Year, 2016

Jerry S. Cohen Award for Antitrust Scholarship, 2014

ABA Antitrust Section Economics Grant Program recipient, 2012-13

Distinguished Service Award (first), Industrial Organization Society, 2012

Principle organizer and Chair of Local Organizing Committee, International Industrial Organization Conferences, Northeastern University, alternate years since 2003

Award for Meritorious Service, Federal Trade Commission, 1980

Numerous interviews, quotations, and references in business and popular press.

Appearances before congressional and state legislative bodies.

Pro bono work on antitrust and regulatory matters.

Membership in:

American Bar Association Antitrust Section

American Economic Association

European Association for Research in Industrial Economics

Industrial Organization Society

International Competition Network

Southern Economic Association

February 2022

JUSTIFICATION AND APPROVAL OF EMPLOYMENT OF EXPERT/CONSULTANT

IDENTIFICATION (to be completed by originating office)

1. NAME OF EXPERT/CONSULTANT (Last, First, Middle) John Kwoka	2. POSITION TITLE Advisor	3. CURRENT SALARY	4. SALARY REQUESTED 0.00
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5. SUMMARY OF DUTIES (Describe in enough detail to show the work to be performed requires the services of an expert/consultant. Use other side, if necessary.)

The position is located in the Office of Policy Planning, FTC, Washington, DC. In accordance with 5 C.F.R. § 304: Expert and Consultant Appointments, the assignee will serve as an Advisor and Chief Economist to the Chair, and act as a visionary leader on economic issues related to the FTC's law enforcement activities, and consumer protection and antitrust missions. The assignee will report to the Chair, and work together with staff and attorneys throughout the FTC to provide case support (investigation and litigation), policy research and development, competition and consumer advocacy, and, when needed, public outreach. The assignee will play an integral role in the Commission's strategic direction and advise the Chair and senior Commission leaders on economic issues required to advance the agency's mission. Having wide latitude of responsibility for providing advice and assistance on matters encompassing the areas of industrial organization, antitrust, and regulatory economics, the assignee will provide the Chair advice and analysis to inform FTC policy.

6. SUMMARY OF QUALIFICATIONS (Describe in enough detail to show that the expert/consultant has the kind and level of experience required for the work to be performed. Use other side, if necessary.)

John Kwoka is the Neal F. Finnegan Distinguished Professor of Economics at Northeastern University, where he teaches and conducts research in the areas of industrial organization, antitrust, and regulatory economics. His emphasis is on the application of economics to current policy issues in various industries. His other teaching interests include courses on the microeconomics of the financial crisis and on sports economics. Kwoka's recent research has focused on the effectiveness of merger policy in the U.S. Kwoka's most recent book on this subject CONTROLLING MERGERS AND MARKET POWER: A Program for Reviving Antitrust in America was just released by CPI Publishing. His earlier book, Mergers, Merger Control, and Remedies in the United States: A Retrospective Analysis was published in 2015 by MIT Press and won the Cohen Award for the Best Antitrust Book. He also co-edits The Antitrust Revolution, the leading casebook on recent antitrust cases. Kwoka has worked at the U.S. antitrust and regulatory agencies and has served as adviser or consultant to them and to those of other countries and international agencies.

7. COMPLETE THIS ITEM ONLY FOR CONVERSION TO NEW APPOINTMENT

Intermittent employment totaled _____ days in a pay status from _____ to _____ (mm/dd/yy) of the previous service year.

8. IS/WAS (within the last two (2) years) THE EXPERT/CONSULTANT UNDER CONTRACT WITH THE FEDERAL TRADE COMMISSION?

No Yes. If Yes, provide contract number. _____

9. REQUESTED BY Stephanie Nguyen	10. TELEPHONE NUMBER
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11. BUREAU/OFFICE Office of Policy Planning	12. DIVISION
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APPROVALS

13. I certify that the expert/consultant will be assigned only the duties described above. Duties will not include the performance or the supervision of operating functions. I also certify that the Statement of Employment and Financial Interests has been reviewed in terms of the duties stated above, and no conflict of interests exists.

SIGNATURE OF ASSISTANT DIRECTOR (Headquarters) OR REGIONAL DIRECTOR (Regional Offices) _____ DATE _____

SIGNATURE OF BUREAU/OFFICE HEAD _____ DATE _____

Stephanie T. Nguyen

Digitally signed by Stephanie T. Nguyen
Date: 2021.10.23 00:03:51 -0400

14. Expert/Consultant has certified that no conflict exists via the Confidential Conflict of Interest Statement (alternative to OGE Form 450).

SIGNATURE OF AGENCY ETHICS OFFICIAL _____ DATE _____

LORIELLE PANKEY

Digitally signed by LORIELLE PANKEY
Date: 2021.10.25 07:14:49 -0400

15. FOURTH QUARTER APPROVAL

OFFICE OF THE EXECUTIVE DIRECTOR REPRESENTATIVE DAVID ROBBINS	TITLE executive director	DATE 10/25/2021
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Digitally signed by DAVID ROBBINS
Date: 2021.10.25 11:33:43 -0400

16. I certify that: a) this expert/consultant position is necessary;
b) the position is Intermittent (has no regular tour of duty) Temporary (has a regular tour of duty);
c) the daily rate of \$ _____ is commensurate with the work to be performed and the appointee's qualifications;
d) all requirements of law have been met.

SIGNATURE OF CHIEF HUMAN CAPITAL OFFICER _____ DATE _____

VICKI BARBER

Digitally signed by VICKI BARBER
Date: 2021.11.08 12:03:22 -0500

11/08/2021

AMENDMENT TO FTC-189 (JUSTIFICATION AND APPROVAL OF EMPLOYMENT OF EXPERT/CONSULTANT) AND FTC-244 (QUARTERLY REVIEWS FOR EXPERT/CONSULTANT) FOR JOHN KWOKA

The FTC is amending the statement of duties (Box 5) on John Kwoka’s form FTC-189 (Justification and Approval of Employment of Expert/Consultant) approved on November 8, 2021 to reflect the actual duties performed and limitations imposed on Mr. Kwoka’s work during his tenure at the FTC. The corresponding summary of duties in Box 3 on form FTC-244 (Quarterly Reviews of Expert/Consultant) for this appointment, was copied directly from the FTC-189 form and is also hereby amended. Although Mr. Kwoka’s original statement of duties in the FTC-189 and FTC-244 forms encompassed a broader and more flexible range of responsibility, his actual duties are summarized in the following paragraph:

The position is located in the Office of Policy Planning, FTC, Washington, DC. In accordance with 5 C.F.R. part 304, Expert and Consultant Appointments, the assignee will serve as an Advisor and Chief Economist to the Chair on economic issues related to the FTC’s law enforcement activities and antitrust missions. The assignee will bring a unique, outside perspective to the FTC’s work in (b)(7)(A) as well as the agency’s approach (b)(7)(A). His outside point of view will help broaden the FTC’s judgement on administrative, economic, and technical issues. His past scholarship, which demonstrates a comprehensive understanding of the need for (b)(7)(A) illustrates how his outside point of view will help the FTC (b)(7)(A) from a different viewpoint. The assignee will draw on his past research, writing and experiences in the merger review process in advising the Chair. Dr. Kwoka will also bring his outside perspective to the analysis of (b)(7)(A). (b)(7)(A) (b)(7)(A). Dr. Kwoka will work with staff in reviewing and revising the Bureau of Competition’s current approach to (b)(7)(A) With respect to (b)(7)(A) Dr. Kwoka will bring his expertise to bear on longstanding concerns about mergers that combine different products into a single “portfolio.” Dr. Kwoka will thus draw on current outside understanding to help the FTC invigorate, where appropriate, agency investigations of such mergers. Dr. Kwoka’s work will help ensure that the agency has the full benefit of a highly respected and independent outside point of view. Although the assignee will support policy development, he will not perform inherently governmental functions such as the determination of agency policy, do work of an ongoing nature more appropriately performed by the agency’s regular employees, or perform managerial or supervisory work.

SIGNED:

ELIZABETH
WILKINS

Digitally signed by
ELIZABETH WILKINS
Date: 2022.08.25 21:52:32
-04'00'

Elizabeth Wilkins
Director, Office of Policy and Planning

MONIQUE
FORTENBERRY

Digitally signed by
MONIQUE FORTENBERRY
Date: 2022.08.26 06:55:31
-04'00'

Monique Fortenberry
Acting Chief Human Capital Officer

DAVID
ROBBINS

Digitally signed by DAVID
ROBBINS
Date: 2022.08.26 07:06:42
-04'00'

David Robbins
Executive Director

ETHICS APPROVAL:

Expert/Consultant has certified that no conflict exists via the Confidential Conflict of Interest Statement (OGE Form 450).

LORIELLE
PANKEY

Digitally signed by
LORIELLE PANKEY
Date: 2022.08.26
09:50:28 -04'00'

Lorielle L. Pankey
Designated Agency Ethics Official