

U.S. Department of Justice  
Washington, DC 20530

**Supplemental Statement**

**Pursuant to the Foreign Agents Registration Act of 1938, as amended**

For Six Month Period Ending June 30, 2011

(Insert date)

**I - REGISTRANT**

1. (a) Name of Registrant (b) Registration No.

Global Policy Group, Inc. 5290

(c) Business Address(es) of Registrant

1101 - 16th Street, NW  
Washington, DC 20036

2. Has there been a change in the information previously furnished in connection with the following?

(a) If an individual:

- (1) Residence address(es) Yes  No
- (2) Citizenship Yes  No
- (3) Occupation Yes  No

(b) If an organization:

- (1) Name Yes  No
- (2) Ownership or control Yes  No
- (3) Branch offices Yes  No

(c) Explain fully all changes, if any, indicated in Items (a) and (b) above.

**IF THE REGISTRANT IS AN INDIVIDUAL, OMIT RESPONSE TO ITEMS 3, 4, AND 5(a).**

3. If you have previously filed Exhibit C<sup>1</sup>, state whether any changes therein have occurred during this 6 month reporting period.

Yes  No

If yes, have you filed an amendment to the Exhibit C? Yes  No

If no, please attach the required amendment.

<sup>1</sup> The Exhibit C, for which no printed form is provided, consists of a true copy of the charter, articles of incorporation, association, and by laws of a registrant that is an organization. (A waiver of the requirement to file an Exhibit C may be obtained for good cause upon written application to the Assistant Attorney General, National Security Division, U.S. Department of Justice, Washington, DC 20530.)

4. (a) Have any persons ceased acting as partners, officers, directors or similar officials of the registrant during this 6 month reporting period?

Yes  No

If yes, furnish the following information:

Name	Position	Date Connection Ended
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(b) Have any persons become partners, officers, directors or similar officials during this 6 month reporting period?

Yes  No

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
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5. (a) Has any person named in Item 4(b) rendered services directly in furtherance of the interests of any foreign principal?

Yes  No

If yes, identify each such person and describe the service rendered.

(b) During this six month reporting period, has the registrant hired as employees or in any other capacity, any persons who rendered or will render services to the registrant directly in furtherance of the interests of any foreign principal(s) in other than a clerical or secretarial, or in a related or similar capacity? Yes  No

Name	Residence Address	Citizenship	Position	Date Assumed
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(c) Have any employees or individuals, who have filed a short form registration statement, terminated their employment or connection with the registrant during this 6 month reporting period? Yes  No

If yes, furnish the following information:

Name	Position or Connection	Date Terminated
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(d) Have any employees or individuals, who have filed a short form registration statement, terminated their connection with any foreign principal during this 6 month reporting period? Yes  No

If yes, furnish the following information:

Name	Position or Connection	Foreign Principal	Date Terminated
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6. Have short form registration statements been filed by all of the persons named in Items 5(a) and 5(b) of the supplemental statement?

Yes  No

If no, list names of persons who have not filed the required statement.

## II - FOREIGN PRINCIPAL

7. Has your connection with any foreign principal ended during this 6 month reporting period? Yes  No
- If yes, furnish the following information:

Foreign Principal

Date of Termination

8. Have you acquired any new foreign principal(s)<sup>2</sup> during this 6 month reporting period? Yes  No
- If yes, furnish th following information:

Name and Address of Foreign Principal(s)

Date Acquired

9. In addition to those named in Items 7 and 8, if any, list foreign principal(s)<sup>2</sup> whom you continued to represent during the 6 month reporting period.

Japan External Trade Organization /JETRO New York  
1221 Avenue of the Americas  
New York, NY 10020

10. (a) Have you filed exhibits for the newly acquired foreign principal(s), if any, listed in Item 8?

Exhibit A<sup>3</sup> Yes  No Exhibit B<sup>4</sup> Yes  No 

If no, please attach the required exhibit.

- (b) Have there been any changes in the Exhibits A and B previously filed for any foreign principal whom you represented during this six month period? Yes  No

If yes, have you filed an amendment to these exhibits? Yes  No 

If no, please attach the required amendment.

<sup>2</sup> The term "foreign principal" includes, in addition to those defined in section 1(b) of the Act, an individual organization any of whose activities are directly or indirectly supervised, directed, controlled, financed, or subsidized in whole or in major part by a foreign government, foreign political party, foreign organization or foreign individual. (See Rule 100(a) (9)). A registrant who represents more than one foreign principal is required to list in the statements he files under the Act only those principals for whom he is not entitled to claim exemption under Section 3 of the Act. (See Rule 208.)

<sup>3</sup> The Exhibit A, which is filed on Form NSD-3 (Formerly CRM-157) sets forth the information required to be disclosed concerning each foreign principal.

<sup>4</sup> The Exhibit B, which is filed on Form NSD-4 (Formerly CRM-155) sets fourth the information concerning the agreement or understanding between the registrant and the foreign principal.

**III - ACTIVITIES**

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11. During this 6 month reporting period, have you engaged in any activities for or rendered any services to any foreign principal named in Items 7, 8, or 9 of this statement?      Yes       No

If yes, identify each foreign principal and describe in full detail your activities and services:

Research reports on: The States and the Public Pension Crisis; The Outlook for the PBGC; Key U.S. Deficit Reduction Issues; Status of TARP and the Economic Stimulus Funds; Update on Socially Responsible Investing; plus one or two reports on the U.S. National Export Initiative each month

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12. During this 6 month reporting period, have you on behalf of any foreign principal engaged in political activity<sup>5</sup> as defined below?  
Yes       No

If yes, identify each such foreign principal and describe in full detail all such political activity, indicating, among other things, the relations, interests and policies sought to be influenced and the means employed to achieve this purpose. If the registrant arranged, sponsored or delivered speeches, lectures or radio and TV broadcasts, give details as to dates, places of delivery, names of speakers and subject matter.

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13. In addition to the above described activities, if any, have you engaged in activity on your own behalf which benefits your foreign principal(s)?      Yes       No

If yes, describe fully.

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<sup>5</sup> The term "political activity" means any activity that the person engaging in believes will, or that the person intends to, in any way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting or changing the domestic or foreign policies of the United States or with reference to political or public interests, policies, or relations of a government of a foreign country or a foreign political party.

**IV - FINANCIAL INFORMATION****14. (a) RECEIPTS-MONIES**

During this 6 month reporting period, have you received from any foreign principal named in Items 7, 8, or 9 of this statement, or from any other source, for or in the interests of any such foreign principal, any contributions, income or money either as compensation or otherwise? Yes  No

If no, explain why.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies.<sup>6</sup>

Date	From Whom	Purpose	Amount
1/4/11	JETRO	research reports	12,500
2/23/11	JETRO	research reports	8,500
3/31/11	JETRO	research reports	5,000
5/9/11	JETRO	research reports	6,375
5/16/11	JETRO	research reports	9,000
6/13/11	JETRO	research reports	6,375
			47,750
			Total

**(b) RECEIPTS - FUNDRAISING CAMPAIGN**

During this 6 month reporting period, have you received, as part of a fundraising campaign<sup>7</sup>, any money on behalf of any foreign principal named in Items 7, 8, or 9 of this statement? Yes  No

If yes, have you filed an Exhibit D to your registration? Yes  No

If yes, indicate the date the Exhibit D was filed. Date \_\_\_\_\_

**(c) RECEIPTS-THINGS OF VALUE**

During this 6 month reporting period, have you received any thing of value<sup>9</sup> other than money from any foreign principal named in Items 7, 8, or 9 of this statement, or from any other source, for or in the interests of any such foreign principal?

Yes  No

If yes, furnish the following information:

Foreign Principal	Date Received	Thing of Value	Purpose
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<sup>6, 7</sup> A registrant is required to file an Exhibit D if he collects or receives contributions, loans, moneys, or other things of value for a foreign principal, as part of a fundraising campaign. (See Rule 201(e)).

<sup>8</sup> An Exhibit D, for which no printed form is provided, sets forth an account of money collected or received as a result of a fundraising campaign and transmitted for a foreign principal.

<sup>9</sup> Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks," and the like.

15. (a) **DISBURSEMENTS-MONIES**

During this 6 month reporting period, have you

(1) disbursed or expended monies in connection with activity on behalf of any foreign principal named in Items 7, 8, or 9 of this statement? Yes  No (2) transmitted monies to any such foreign principal? Yes  No 

If no, explain in full detail why there were no disbursements made on behalf of any foreign principal.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies, including monies transmitted, if any, to each foreign principal.

Date	To Whom	Purpose	Amount
ongoing throughout January to June 2011 period	Telephone, copy paper, office equipment and supplies, rent, and salaries for staff	Expenses for telephone, copying, paper, overhead [rent], and salaries for staff	47,750
none	Expenses for entertainment, travel, or other firms	Expenses for entertainment, travel, or other firms	0

47,750

Total

**(b) DISBURSEMENTS-THINGS OF VALUE**

During this 6 month reporting period, have you disposed of anything of value<sup>10</sup> other than money in furtherance of or in connection with activities on behalf of any foreign principal named in Items 7, 8, or 9 of this statement?

Yes  No

If yes, furnish the following information:

Date	Recipient	Foreign Principal	Thing of Value	Purpose
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**(c) DISBURSEMENTS-POLITICAL CONTRIBUTIONS**

During this 6 month reporting period, have you from your own funds and on your own behalf either directly or through any other person, made any contributions of money or other things of value<sup>11</sup> in connection with an election to any political office, or in connection with any primary election, convention, or caucus held to select candidates for political office?

Yes  No

If yes, furnish the following information:

Date	Amount or Thing of Value	Political Organization or Candidate	Location of Event
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<sup>10, 11</sup> Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks" and the like.

V - INFORMATIONAL MATERIALS

16. (a) During this 6 month reporting period, did you prepare, disseminate or cause to be disseminated any informational materials?<sup>12</sup>  
 Yes  No

If Yes, go to Item 17.

(b) If you answered No to Item 16(a), do you disseminate any material in connection with your registration?  
 Yes  No

If Yes, please forward the materials disseminated during the six month period to the Registration Unit for review.

17. Identify each such foreign principal.

18. During this 6 month reporting period, has any foreign principal established a budget or allocated a specified sum of money to finance your activities in preparing or disseminating informational materials? Yes  No

If yes, identify each such foreign principal, specify amount, and indicate for what period of time.

19. During this 6 month reporting period, did your activities in preparing, disseminating or causing the dissemination of informational materials include the use of any of the following:

- Radio or TV broadcasts
- Magazine or newspaper
- Motion picture films
- Letters or telegrams
- Advertising campaigns
- Press releases
- Pamphlets or other publications
- Lectures or speeches
- Other (specify) \_\_\_\_\_

**Electronic Communications**

- Email
- Website URL(s): \_\_\_\_\_
- Social media websites URL(s): \_\_\_\_\_
- Other (specify) \_\_\_\_\_

20. During this 6 month reporting period, did you disseminate or cause to be disseminated informational materials among any of the following groups:

- Public officials
- Newspapers
- Libraries
- Legislators
- Editors
- Educational institutions
- Government agencies
- Civic groups or associations
- Nationality groups
- Other (specify) \_\_\_\_\_

21. What language was used in the informational materials:

- English
- Other (specify) \_\_\_\_\_

22. Did you file with the Registration Unit, U.S. Department of Justice a copy of each item of such informational materials disseminated or caused to be disseminated during this 6 month reporting period? Yes  No

23. Did you label each item of such informational materials with the statement required by Section 4(b) of the Act? Yes  No

<sup>12</sup> The term informational materials includes any oral, visual, graphic, written, or pictorial information or matter of any kind, including that published by means of advertising, books, periodicals, newspapers, lectures, broadcasts, motion pictures, or any means or instrumentality of interstate or foreign commerce or otherwise. Informational materials disseminated by an agent of a foreign principal as part of an activity in itself exempt from registration, or an activity which by itself would not require registration, need not be filed pursuant to Section 4(b) of the Act.

**VI - EXECUTION**

In accordance with 28 U.S.C. § 1746, the undersigned swear(s) or affirm(s) under penalty of perjury that he/she has (they have) read the information set forth in this registration statement and the attached exhibits and that he/she is (they are) familiar with the contents thereof and that such contents are in their entirety true and accurate to the best of his/her (their) knowledge and belief, except that the undersigned make(s) no representation as to truth or accuracy of the information contained in the attached Short Form Registration Statement(s), if any, insofar as such information is not within his/her (their) personal knowledge.

(Date of signature)

(Print or type name under each signature or provide electronic signature<sup>13</sup>)

June 27, 2011 \_\_\_\_\_

/s/ Ian C. Graig \_\_\_\_\_

eSigned

June 27, 2011 \_\_\_\_\_

/s/ Douglas J. Bergner \_\_\_\_\_

eSigned

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

<sup>13</sup> This statement shall be signed by the individual agent, if the registrant is an individual, or by a majority of those partners, officers, directors or persons performing similar functions, if the registrant is an organization, except that the organization can, by power of attorney, authorize one or more individuals to execute this statement on its behalf.



GLOBAL POLICY GROUP®

GLOBAL POLICY GROUP, INC.

1101 16th Street, N.W.

Washington, DC 20036

Phone: (202) 496-1550

Fax: (202) 496-1552

Web: [www.globalpolicy.com](http://www.globalpolicy.com)

E-mail: [gpg@globalpolicy.com](mailto:gpg@globalpolicy.com)

April 1, 2011

## CONSULTING AGREEMENT

By this Agreement entered into between Global Policy Group, Inc. ("GPG") and the Pension and Welfare Department of JETRO-New York ("JETRO"), the services of GPG are retained pursuant to the following terms and conditions:

### Scope of Engagement

GPG will provide professional consulting services to JETRO of such general nature as shall be prescribed. It is contemplated that these services will consist of providing reports on U.S. policy issues related primarily to social and economic security (Social Security, private pensions, tax policy, health care, Medicare, Medicaid, corporate governance, etc.). Specific issues will be focused through discussions between JETRO and GPG. It is also expected that GPG will take part in periodic meetings in either New York or Washington for the purpose of examining and discussing issues under consideration in this Agreement. Finally, GPG will provide, as needed, supplemental information or analysis to follow up briefly on questions raised during the meetings.

### Terms

This Agreement will have a term of one year, beginning April 1, 2011, and ending March 31, 2012. The parties may agree to an extension or revision of the Agreement on such terms and conditions as are mutually agreeable. Either party may terminate the Agreement for reasonable cause upon not less than thirty (30) days notice to the other party.

### Rights

To the extent that any reports, memoranda, brochures, photographs, slides, pamphlets, audio and video recordings, audio-visual works, computer programs, and any other tangible material of any kind or nature created or developed by GPG under this Agreement ("Work") are entitled to protection under the copyright laws of the United

GPG-Pension and JETRO Agreement  
April 1, 2011  
Page 2

States and anywhere in the world, JETRO and GPG agree to the following provisions with regard to any and all rights relating to any such Work:

GPG shall be the author of the Work and any work employing the Work according to the United States Copyright Act.

GPG shall retain all right, title and interest in and to such Work except as provided in this section.

GPG hereby irrevocably grants to JETRO and its affiliates only a perpetual, non-exclusive and non-transferable right to copy, reproduce, revise, edit, publish and create any derivative work of, Work, or use Work in any other manner and for any lawful purposes, throughout the world without any additional compensation to GPG.

JETRO will not make a public attribution of all or any part of this Work to Global Policy Group, Inc., GPG, or Global Policy Group<sup>®</sup> without obtaining prior approval from GPG.

To the extent any copy of the Work is delivered to JETRO pursuant to this Agreement, JETRO shall have exclusive ownership and control of the copy and may use the copy in accordance with this section.

#### **Prohibition of Use of Unauthorized Information or Material**

In providing the services or otherwise performing the duties under this Agreement, GPG shall rely exclusively on publicly available or otherwise properly authorized information or sources.

JETRO prohibits and under no circumstances authorizes the solicitation, collection, acceptance, or receipt of any and all unauthorized information or material by GPG in performing its duties under this Agreement.

JETRO may unilaterally terminate this Agreement at any time during its term, without any further compensation or liability to GPG, if JETRO determines that any information or material has been, or is about to be, obtained in an improper manner, or in violation of any rights of a third party, by GPG in providing the services under this Agreement.

#### **Fees**

In return for the performance of services outlined above, JETRO will pay GPG a bimonthly fee of \$6,375, to be paid on April 1, June 1, August 1, October 1, and December 1, 2011, and February 1, 2012. GPG will absorb all reasonable and ordinary expenses incurred in the performance of this Agreement, including local travel around the Washington, DC, metropolitan area. It is understood that most meetings between GPG

GPG-Pension and JETRO Agreement  
April 1, 2011  
Page 3

and JETRO during the term of this agreement will be held in Washington, DC, at a mutually agreed site; GPG would also absorb the costs of travel to New York for such meetings if they can be scheduled at mutually agreed times. Any other GPG travel outside the Washington, DC, metropolitan area will be reimbursed only if authorized in advance.

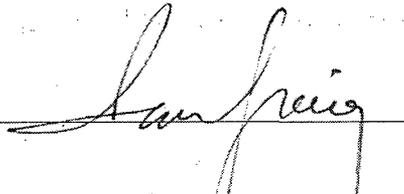
**Public Disclosure of the Agreement**

The existence and content of this Agreement shall not be treated confidential. JETRO may disclose for public inspection any and all part of this Agreement.

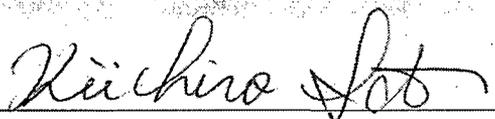
In witness thereof, the parties have executed this Agreement.

**Global Policy Group, Inc.**  
1101 16th Street, N.W.  
Washington, DC 20036  
U.S.A.

**JETRO New York**  
1221 Avenue of the Americas, 42nd Fl.,  
New York, NY 10020-1079  
U.S.A.



Date April 5, 2011



Date \_\_\_\_\_

## SERVICES AGREEMENT

This Agreement ("Agreement"), made and entered into this 1st day of April, 2011, by and between the New York office of Japan External Trade Organization at 1221 Avenue of the Americas, New York, NY 10020-1079 ("JETRO" or "JETRO New York") and Global Policy Group Inc., with its principal office at 1101 16th Street, N.W. Washington, DC, 20036 ("Contractor").

### 1. Services

1.1 During the Term (as defined in section 3 below) of this Agreement, Contractor shall provide to JETRO the following services ("Services") in accordance with the terms and conditions set forth in this Agreement:

(a) Reports on U.S. National Export Initiatives

1.2 More detailed description of the Services is attached hereto as **Exhibit I**.

### 2. Compensation

2.1 In compensation for the Services to be provided by Contractor to JETRO, JETRO shall pay a total of \$18,000 (Eighteen Thousand U.S. Dollars) ("Compensation") to Contractor in accordance with the following payment schedule.

2.1.1 \$9,000, *i.e.*, 50% of Compensation, upon receipt of an invoice to be issued by Contractor immediately following execution of this Agreement; and

2.1.2 \$9,000, *i.e.*, 50% of Compensation, upon receipt of an invoice to be issued by Contractor immediately following completion of the final report referred to in **Exhibit I**.

2.2 Compensation shall include any and all fees, charges, costs and expenses, including any applicable tax, and there shall be no additional payment obligation of JETRO to Contractor under this Agreement.

### 3. Term

3.1 The term of this Agreement ("Term") shall be for a period of twelve months, commencing on the date of execution and expiring on March 31, 2012.

3.2 Notwithstanding the foregoing, however, JETRO may terminate this Agreement for any reason during the Term by providing at least 30 days prior written notice to the Contractor, except that JETRO may terminate this Agreement immediately in the event the Contractor collects and uses unauthorized material described in Section 6 below.

### 4. Rights

4.1 JETRO shall have exclusive ownership of any reports, memoranda, brochures, photographs, slides, pamphlets, audio and video recordings, audio-visual works, computer programs, and any other tangible material of any kind and nature created or developed by Contractor and specifically provided for its use to JETRO under this Agreement ("Works"), provided, however, that to the extent the Work is entitled to protection under the copyright laws of the United States and anywhere in the world, JETRO and Contractor agree to the following provisions:

4.1.1 Contractor shall be the author of the Work and any work employing the Work according to the United States Copyright Act.

4.1.2 Contractor shall retain all right, title and interest in and to such Work except as provided in this section 4.1.

4.1.3 Contractor hereby grants to JETRO and its affiliates only a perpetual, non-exclusive and non-transferable right to copy, reproduce, revise, edit, publish and create any derivative work of, Work, or use Work in any other manner and for any lawful purposes, throughout the world without any additional compensation.

## **5. Representations and Warranties**

Contractor represents and warrants that the Work the Contractor creates or prepares pursuant to this Agreement will be original or otherwise will not infringe upon the rights of any third party, and will not have been previously assigned, licensed or otherwise encumbered.

## **6. Prohibition of Use of Unauthorized Information or Material**

6.1 In providing the Services or otherwise performing the duties under this Agreement, the Contractor shall rely exclusively on publicly available or otherwise properly authorized information or sources.

6.2 JETRO prohibits and, under no circumstances, authorizes solicitation, collection, acceptance, or receipt of any and all unauthorized information or material by the Contractor in performing its duties under this Agreement.

6.3 JETRO may unilaterally terminate this Agreement at any time during the Term of this Agreement, without any further compensation or liability to Contractor, if JETRO determines that any information or material has been, or is about to be, obtained in an improper manner, or in violation of any rights of third party, by the Contractor in providing the Services under this Agreement.

## **7. Indemnification**

7.1 JETRO shall indemnify, and hold harmless, Contractor, its directors, employees and agents from and against any claims, damages, losses, liabilities, penalties, costs and expenses (including, but not limited to, reasonable attorneys' fees) incurred or caused to Contractor by reason of any actual or alleged breach by JETRO or arising out of the release of materials previously reviewed and approved by JETRO.

7.2 The Contractor shall indemnify, and hold harmless, JETRO, its directors, employees and agents from and against any claims, damages, losses, liabilities, penalties, costs and expenses (including, but not limited to, reasonable attorneys' fees) incurred or caused to JETRO by reason of any breach by Contractor of its obligations under this Agreement and from any negligent acts taken by the Contractor pursuant to this Agreement.

## 8. Confidentiality

8.1 All written and oral communications between JETRO and the Contractor shall be kept confidential and shall not be disclosed to any other party unless prior written permission is given by JETRO.

8.2 Contractor shall not disclose or use, either during or after the Term, and proprietary or confidential information of JETRO without JETRO's prior written permission except to the extent necessary to perform the Services on JETRO's behalf.

8.3 Proprietary or confidential information shall include, without limitation, the written, printed, graphic or electronically recorded materials of any contents furnished by JETRO for Contractor to use.

8.4 Contractor shall not be restricted in using any material which is publicly available, already in Contractor's possession or known to Contractor without restriction or which is rightfully obtained by Contractor from sources other than JETRO.

8.5 This confidentiality obligation shall survive the expiration or cancellation of this Agreement.

## 9. Public Disclosure of the Agreement

The existence and content of this Agreement shall not be treated confidential. JETRO may disclose for public inspection any and all part of this Agreement.

## 10. Compliance with Applicable Law

In providing the Services under this Agreement, Contractor shall strictly adhere to any and all applicable federal and state statutes and regulations including, if applicable, the Foreign Agents Registration Act of 1938, as amended.

## 11. Governing Law

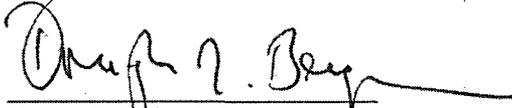
This Agreement shall be construed in accordance with and governed by the laws of the State of New York.

For JETRO New York:



Name: Akira Kajita  
Title: Executive Director

For Contractor:



Name: Douglas J. Bergner  
Title: President

Exhibit I

Description for the Services

[Abstract]

Title: Reports on U.S. National Export Initiatives

Term: from April 1, 2011 to March 31, 2012

[Items to be covered]

1. Update information about U.S. National Export Initiatives in general including activities by White House, TPCC such as DOC (especially ITA) , USTR, DOS, SBA and EXIM Bank, Congress, business associations. The information shall be obtained from their press releases or direct interviews.
2. Google on articles, essays and papers by thinktanks, academic institutions ,business journals, newspapers and other websites about U.S. National Export Initiatives in general and actual U.S. export promotion activities. It is enough to attach the files or their URL on an e-mail.
3. Details about ITA's budget and organization. How are they going to be more powerful? The information shall be obtained from public documents or direct interviews from people who are related to this matter.
4. US business exporting activities towards Japan whose economy would try to recover from the earthquake, tsunami and nuclear disasters.

[Reporting style]

About 5 pages letter sized MS-Word memo shall be sent to JETRO by e-mail.