

U.S. House of Representatives
Committee on Natural Resources
Washington, DC 20515

June 22, 2021

Ms. Elizabeth Klein
Senior Counselor to the Secretary
U.S. Department of the Interior
1849 C Street, N.W.
Washington, D.C. 20240

Ms. Heather Gottry
Director and Designated Agency Ethics Official, Departmental Ethics Office
U.S. Department of the Interior
1849 C Street, N.W.
Washington, D.C. 20240

Dear Mses. Klein and Gottry,

Ms. Klein committed to providing her recusal list to the House Committee on Natural Resources (Committee) at a subcommittee hearing on May 25, 2021.¹ Despite repeating the request in questions submitted for the record, Ms. Klein initially failed to provide it to the Committee. Therefore, we sent a letter on June 3, 2021, inquiring about Ms. Klein's compliance with her ethical obligations, and reiterating the request for her recusal list.²

On June 10, 2021, the Department of the Interior (DOI) partially satisfied our June 3, 2021, requests. DOI produced the Ethics Guidance on Recusal Obligations memorandum provided to Ms. Klein, as well as her Ethics Recusal and Screening Arrangement.³ Notably, Ms. Klein's Ethics Guidance on Recusal Obligations memorandum is dated June 4, 2021, and her Ethics Recusals and Screening Arrangement is dated June 5, 2021. Therefore, it appears DOI only finalized the process for Ms. Klein's full compliance with her ethical obligations after our inquiries were made. Both documents are attached to this letter for your reference.

DOI attempted to contextualize the dates of the documents. According to DOI, prior to the produced memorandum, Ms. Klein received interim ethics guidance on her recusals on January 25, 2021, filed her financial disclosure on February 19, 2021, and received updated

¹ *The Status of Drought Conditions Throughout the Western United States: Before the Subcomm. on Water, Oceans, and Wildlife of the H. Comm. on Nat. Res.*, 117th Cong. (2021).

² Letter from The Hon. Bruce Westerman, Ranking Member, H. Comm. on Nat. Res., The Hon. Paul Gosar, Ranking Member, Subcomm. on Oversight and Investigations of the H. Comm. on Nat. Res., and The Hon. Lauren Boebert, to Ms. Elizabeth Klein, Senior Counselor to the Sec'y, U.S. Dep't of the Interior and Ms. Heather Gottry, Dir. and Designated Agency Ethics Official, Departmental Ethics Office, U.S. Dep't of the Interior (June 3, 2021) (on file with Comm.).

³ E-mail from Office of Congressional and Legislative Affairs, U.S. Dep't of the Interior to H. Comm. on Nat. Res. Minority Staff (June 10, 2021, 18:28 EST) (on file with Comm.).

ethics guidance on February 4, 2021.⁴ DOI also shared that Ms. Klein received additional guidance on the scope of her recusals from the Departmental Ethics Office.⁵

While it is encouraging DOI demonstrated its capability of responding to our inquiries, Ms. Klein's May 25, 2021, commitment remains unsatisfied. Nearly a month later, the Committee has not received the recusal list or ethics guidance under which Ms. Klein was operating when she testified before Congress in May. DOI also failed to respond to subsequent Committee staff e-mails which requested this information to include Ms. Klein's interim and updated ethics guidance in addition to a status update on the outstanding request items from our June 3, 2021 letter.⁶

Reviewing the interim and updated guidance with the final guidance will help clarify whether Ms. Klein has consistently addressed conflicts of interest during her tenure at DOI since January 2021. Notwithstanding Ms. Klein's previous ethics guidance, it is troubling that DOI made no mention of any screening arrangements for Ms. Klein to properly comply with recusal and other ethics obligations, prior to her Ethics Recusal and Screening Arrangement submitted June 5, 2021. That absence of a screening process calls into question whether Ms. Klein met her ethical obligations prior to June 5, 2021.

We are reiterating the unsatisfied requests from our June 3, 2021, letter and seeking additional information to evaluate Ms. Klein's compliance with her ethical obligations. To assist with our oversight activities, please provide the following documents as soon as possible, but no later than 5:00 p.m., June 29, 2021:

1. A copy of the information Ms. Klein provided to DOI's Ethics Office describing her work at New York University School of Law's State Energy & Environmental Impact Center (SEEIC).
2. A document describing the role and responsibilities of the Deputy Director of SEEIC during Ms. Klein's tenure in the position.
3. A document listing the regulatory challenges supported or advocated by SEEIC or its legal fellows.
4. A document listing the matters and actions on which Ms. Klein advised or supported through her work at SEEIC.
5. A document listing the decisions, deliberations, and actions that include Ms. Klein's participation as a DOI employee from January 20, 2021 to June 21, 2021.

⁴ *Id.*

⁵ *Id.*

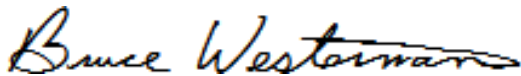
⁶ E-mail from H. Comm. on Nat. Res. Minority Staff to Office of Congressional and Legislative Affairs, U.S. Dep't of the Interior (June 13, 2021, 23:16 EST) (on file with Comm.).

6. A document sufficient to show the full ethical constraints under which Ms. Klein was formally operating on May 25, 2021.
7. A copy of Ms. Klein's January 25, 2021, interim ethics guidance on her recusals.
8. A copy of Ms. Klein's February 4, 2021, updated interim ethics guidance on her recusals.
9. A document describing Ms. Klein's ethics recusal and screening arrangement prior to June 5, 2021.
10. A copy of any additional ethics guidance provided to Ms. Klein by DOI's Ethics Office on the scope of her recusals.
11. A copy of Ms. Klein's Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e) filed on February 19, 2021.

Please contact the Oversight and Investigations Subcommittee Minority staff at (202) 225-2761 with any questions about this request, and to coordinate the delivery of your response to room 1329 of the Longworth House Office Building.

An attachment contains additional instructions for responding to this request. Thank you for your prompt attention to this matter.

Sincerely,



Bruce Westerman
Ranking Member
Committee on Natural Resources



Paul A. Gosar, D.D.S.
Ranking Member
Subcommittee on Oversight and
Investigations



Lauren Boebert
Member of Congress

cc: The Honorable Raúl Grijalva, Chair, House Committee on Natural Resources
The Honorable Katie Porter, Chair, Subcommittee on Oversight and Investigations

Enclosures



United States Department of the Interior

OFFICE OF THE SOLICITOR

Washington, D.C. 20240

June 4, 2021

MEMORANDUM

To: Elizabeth Klein, Senior Counselor to the Secretary

From: Heather C. Gottry, Director, Departmental Ethics Office
& Designated Agency Ethics Official

Subject: Ethics Guidance on Recusal Obligations

This memorandum provides guidance from the Departmental Ethics Office (DEO) about your ethics obligations while you serve as the Senior Counselor to the Secretary for the U.S. Department of the Interior (DOI). The guidance in this memorandum supplements and replaces the interim ethics guidance on recusal obligations provided to you in earlier draft memoranda. The guidance in this memorandum is based on information that you have provided and sets forth guidance on your obligation to recuse from participating personally and substantially in certain matters in which you have either direct or imputed financial interests, or personal or business relationship(s), pursuant to ethics laws, regulations, and Executive Order 13989 entitled, “Executive Order on Ethics Commitments by Executive Branch Personnel” (Jan. 20, 2021) (Ethics Pledge).

SECTION 1 – FINANCIAL CONFLICTS OF INTEREST

As required by the criminal conflicts of interest law at 18 U.S.C. § 208(a), you may not participate personally and substantially in any particular matter¹ in which you know that you have a financial interest directly and predictably affected by the matter, or in which you know that a person whose interests are imputed to you has a financial interest directly and predictably affected by the particular matter, unless you first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2), or qualify for a

¹ Additional guidance provided by the DEO on whether an issue, action, or decision pending at the DOI is a matter, particular matter of general applicability, or a particular matter involving specific parties is found in *Attachment A* to this memorandum.

statutory exemption, pursuant to 18 U.S.C. § 208(b)(4). The interests of the following persons are imputed to you:

- Any spouse or minor child;
- Any general partner of a partnership in which you are a limited or general partner;
- Any organization in which you serve as an officer, director, trustee, general partner, or employee; and
- Any person or organization with which you are negotiating or have an arrangement concerning prospective employment.

Based on information you have provided to the DEO, including your New Entrant Public Financial Disclosure Report (OGE Form 278e), submitted on February 19, 2021, and certified on March 28, 2021, the DEO has determined that the majority of your reported personal and/or imputed financial interests qualify for exemptions set forth by law and regulation to the recusal requirement in 18 U.S.C. § 208. Additionally, you have confirmed to the DEO that you do not hold any of the prohibited interests listed on the 2021 List of Prohibited Investments, included as *Attachment B* to this memorandum.² Accordingly, it is the assessment of the DEO that your reported personal and/or imputed financial interests will not create significant recusal obligations for you while you serve as Senior Counselor to the Secretary.

You have informed the DEO that you do not currently hold a financial interest in a managed account or otherwise use the services of an investment professional. If you or your spouse decide to acquire a financial interest in a managed account or otherwise use the services of an investment professional during your appointment, the DEO advises that you ensure that the account manager or investment professional obtains your prior approval on a case-by-case basis for the purchase of any asset other than cash, cash equivalents, or investment funds that qualify for the regulatory exemption for diversified mutual funds and unit investment trusts at 5 C.F.R. § 2640.201(a), or obligations of the United States.

Finally, in the event that an actual or potential conflict of interest arises during your appointment, you should consult with the DEO immediately and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset. Throughout your appointment, you must remain vigilant about your personal and any imputed financial interests and notify the DEO immediately should either they or your duties and responsibilities at the DOI change so you can receive updated ethics guidance.

² Please see Section 3 of this memorandum for a discussion of the additional ethics requirements imposed by the DOI Supplemental Ethics Regulations on certain personally held financial interests.

SECTION 2 – IMPARTIALITY

As required by 5 C.F.R. § 2635.502(a), if you know that a particular matter involving specific parties³ is likely to have a direct and predictable effect on the financial interest of a member of your household, or know that a person with whom you have a “covered relationship”⁴ is or represents a party to such matter, and where you determine that the circumstances would cause a reasonable person with knowledge of the relevant facts to question your impartiality in the matter, you will not participate in the matter unless you have informed the DEO of the appearance problem and received written authorization from the DEO to participate in the matter pursuant to 5 C.F.R. § 2635.502(d).

Based on information you have provided, including information in your certified New Entrant OGE Form 278e, the DEO identified that you have a “covered relationship” with the following individuals and/or entities:

- State Energy & Environmental Impact Center at NYU Law (State Impact Center),⁵ former employer – terminated employment on January 15, 2021;
- State of Maryland, former client through the State Impact Center⁶ – terminated client relationship with the Office of the Attorney General on January 15, 2021;
- State of Massachusetts, former client through the State Impact Center – terminated client relationship with the Office of the Attorney General on January 15, 2021;
- State of Minnesota, former client through the State Impact Center – terminated client relationship with the Office of the Attorney General on January 15, 2021;

³ Additional guidance on whether an issue, action, or decision pending at the DOI is a particular matter involving specific parties is found in *Attachment A* to this memorandum.

⁴ Please note that for purposes of 5 C.F.R. § 2635.502(a), you have a “covered relationship” with: (1) A person, other than a prospective employer described in 5 C.F.R. § 2635.603(c), with whom you have or seek a business, contractual or other financial relationship that involves other than a routine consumer transaction; (2) A person who is a member of your household, or who is a relative with whom you have a close personal relationship; (3) A person for whom your spouse, parent or dependent child is, to your knowledge, serving or seeking to serve as an officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee; (4) Any person for whom you have, within the last year, served as officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee; or (5) An organization, other than a political party described in 26 U.S.C. § 527(e), in which you are an active participant.

⁵ The State Impact Center supports state attorneys general in defending and promoting clean energy, climate and environmental laws and policies. <https://www.law.nyu.edu/centers/state-impact/about>. You informed the DEO that, as part of your work for the State Impact Center, you provided legal assistance through contracts to certain state attorneys general on specific administrative, judicial or legislative matters involving clean energy, climate change and environmental interests of regional and national significance.

⁶ In determining the scope of your “covered relationships” with former state attorneys general clients through the State Impact Center, the DEO in consultation with the U.S. Office of Government Ethics (OGE), has determined that the scope of your “covered relationship” extends to the entire respective states and is not limited to only the respective Offices of the Attorney General as a result of the high level scope and significant impact that the work of an Office of the Attorney General has in a state.

- State of New York, former client through the State Impact Center – terminated client relationship with the Office of the Attorney General on January 15, 2021;
- State of Washington, former client through the State Impact Center – terminated client relationship with the Office of the Attorney General on January 15, 2021;
- American University, former employer – terminated employment on December 31, 2019;
- George Washington Middle School PTA, board member;
- Invariant, spouse’s employer; and
- Your spouse’s current clients, identified in *Attachment C* to this memorandum.

Accordingly, unless you receive prior DEO authorization, you should not participate in any particular matter involving specific parties in which you know any of the individuals or entities listed above is a party or represents a party, if you determine that a reasonable person with knowledge of the relevant facts would question your impartiality in the matter. This disqualification requirement may expand to a number of issues, actions, and decisions involving the individuals or entities listed above and we recommend that you consult with the DEO for additional guidance as needed. Please note that you are in the best position to know and identify your “covered relationships.” Please update the DEO if you identify additional “covered relationships” or if your identified “covered relationships” change.

In determining whether circumstances other than those specifically described in 5 C.F.R. § 2635.502(a) would raise a question regarding your impartiality in performing your official duties, you must consider the relevant facts about the particular matter in question and determine whether you believe that a reasonable person with knowledge of those facts would question your impartiality in performing your official duties in the particular matter. If you personally determine that a reasonable person with knowledge of the relevant facts would not question your impartiality in performing your official duties in the particular matter, then you may participate in the particular matter as part of your official duties. Additional guidance on whether an issue, action, or decision pending at the DOI is a particular matter is found in *Attachment A* to this memorandum.

In addition to the requirements discussed above related to 5 C.F.R. § 2635.502, as set forth in the Fourteen General Principles of Ethical Conduct, you must take steps to avoid any action that creates the appearance that you are violating the law or the ethical standards set forth in 5 C.F.R. Part 2635. 5 C.F.R. § 2635.101(b)(14). In considering whether a particular set of circumstances will create an appearance that the law or the ethical standards have been violated, you will need to assess the circumstances from the perspective of a reasonable person with knowledge of the relevant facts. As appearance issues can be complex, please consult as needed and appropriate with the DEO for further ethics guidance and assistance.

SECTION 3 – DOI SUPPLEMENTAL ETHICS REGULATIONS

Pursuant to 5 C.F.R. § 3501.103(b) you are prohibited from acquiring or holding any direct or indirect financial interest in Federal lands or resources administered or controlled by the DOI. This prohibition precludes stock or bond investments in many companies that hold DOI-granted permits and leases in Federal lands. The DEO has provided you with a list of prohibited investments (2021 List of Prohibited Investments), included as *Attachment B* to this memorandum, which includes investments in certain companies with oil, gas, solar, wind, and geothermal permits or leases on, or mineral rights in Federal lands above certain thresholds.

Additionally, absent a waiver under 5 C.F.R. § 3501.103(e), you, your spouse, and any of your minor children are prohibited by 5 C.F.R. § 3501.103(c) from acquiring or retaining any claim, permit, lease, small tract entries, or other rights that are granted by the DOI in Federal lands. This prohibition does not limit the recreational or other personal and noncommercial use of Federal lands on the same terms as use of Federal lands is available to the general public. 5 C.F.R. § 3501.103(c)(2)(i).

Based on information provided to the DEO, including in your certified New Entrant OGE Form 278e:

1. You confirmed that you do not hold financial interests identified on the 2021 List of Prohibited Investments, included as *Attachment B* to this memorandum.
2. You confirmed that neither your spouse, any of your minor children, and you do not occupy or use Federal lands (other than on the same terms as use of Federal lands is available to the general public), and do not take any benefits from Federal lands, based upon a contract, grant, lease, permit, easement, rental, agreement, mineral rights, grazing rights, or other holdings DOI issues or regulates.

In order to ensure compliance with the requirements of the DOI Supplemental Ethics Regulations, you must not acquire any financial interests identified on the 2021 List of Prohibited Investments or such lists published annually thereafter. You also must immediately update the DEO if you or your spouse or any of your minor children occupy or use Federal lands (other than on the same terms as use of Federal lands is available to the general public), and you and your spouse and any of your minor children must not take any benefits from Federal lands, based upon a contract, grant, lease, permit, easement, rental, agreement, mineral rights, grazing rights, or other holdings DOI issues or regulates.

SECTION 4 - OBLIGATIONS UNDER THE ETHICS PLEDGE

As a Biden Administration political appointee, you signed the Ethics Pledge required under Executive Order No. 13989 entitled, “Executive Order on Ethics Commitments by Executive Branch Personnel” (Jan. 20, 2021), on January 23, 2021, and are bound by the

requirements and restrictions contained therein. A copy of your signed Ethics Pledge is included as *Attachment C* to this memorandum.

First, pursuant to the requirements of paragraph 2 of the Ethics Pledge, you may not participate personally and substantially, for two (2) years after the date of your appointment on January 20, 2021, in any particular matter involving specific parties that is directly and substantially related to your former employer⁷ or former clients,⁸ including regulations and contracts, unless you are first granted a waiver under the Ethics Pledge.

For purposes of paragraph 2 of the Ethics Pledge, and based on information provided to the DEO, your former employer(s) and former client(s) under the Ethics Pledge include:

- State Energy & Environmental Impact Center at NYU Law; and
- American University.

For purposes of paragraph 2 of the Ethics Pledge, the following former employer(s) and former client(s) listed below qualify as an agency or entity of Federal, State, or local government, the District of Columbia, Native American tribe, any United States territory or possession, or any international organization in which the United States is a member:

- State of Maryland, former client through the State Impact Center;
- State of Massachusetts, former client through the State Impact Center;
- State of Minnesota, former client through the State Impact Center;
- State of New York, former client through the State Impact Center; and
- State of Washington, former client through the State Impact Center.

As such, these entities are excluded from the two-year requirement in paragraph 2 of the Ethics Pledge that you not participate personally and substantially in certain particular matters involving

⁷ For purposes of paragraph 2 of the Ethics Pledge, “former employer” is any person for whom you have within the two (2) years prior to the date of your appointment served as an employee, officer, director, trustee, or general partner, except that “former employer” does not include any executive agency or other entity of the Federal Government, State or local government, the District of Columbia, Native American tribe, any United States territory or possession, or any international organization in which the United States is a member state. Executive Order 13989, Section 2(k). For additional guidance on the definition of “former employer” please see OGE Legal Advisory DO-09-011, *Ethics Pledge: Revolving Door Ban--All Appointees Entering Government* (Mar. 26, 2009) (DO-09-011), which applies to Executive Order 13989 pursuant OGE Legal Advisory LA-21-03, *Executive Orders on Ethics Commitments by Executive Branch Personnel* (Jan. 22, 2021) (LA-21-03).

⁸ For purposes of paragraph 2 of the Ethics Pledge, “former client” is any person for whom you served personally as agent, attorney, or consultant within the two (2) years prior to the date of appointment, but excluding instances where the service provided was limited to speeches or similar appearances. It does not include clients of your former employer to whom you did not personally provide services. Executive Order 13989, Section 2(l). Additional guidance on the definition of “former client” is found in DO-09-011, which applies to Executive Order 13989 pursuant LA-21-03. Additionally, “former client” does not include any executive agency or other entity of the Federal Government, State or local government, the District of Columbia, Native American tribe, any United States territory or possession, or any international organization in which the United States is a member state. DO-09-011; LA-21-03.

specific parties. Executive Order 13989, Section 2(k) and DO-09-011, which applies to Executive Order 13989 pursuant LA-21-03.

For purposes of the Ethics Pledge, the term “particular matter involving specific parties” has the meaning set forth in 5 C.F.R. § 2641.201(h),⁹ except that it also includes any meeting or other communication relating to the performance of your official duties, unless the communication concerns a particular matter of general applicability and is made at a meeting or other event at which participation is open to all interested parties. OGE has advised the term “open to all interested parties” means that the meeting should include a multiplicity of parties representing a diversity of viewpoints. If a former employer or a former client is present, then, generally speaking, at least four other separate stakeholders should be present to ensure that a diversity of viewpoints is represented and not the same united perspective.¹⁰ DO-09-011.

You have confirmed to the DEO that you were not registered under the Lobbying Disclosure Act, 2 U.S.C. 1601 et seq., or the Foreign Agents Registration Act (FARA), 22 U.S.C. 611 et seq., within the 2 years before the date of your appointment. Accordingly, the recusal requirements under paragraph 3 of the Ethics Pledge are not applicable to your work at the DOI.

Finally, you have confirmed for the DEO that you have complied with paragraph 7 of the Ethics Pledge and did not accept and will not accept, including after entering Government, any salary or other cash payment from your former employer the eligibility for and payment of which is limited to individuals accepting a position in the United States Government. You further confirmed that you also have not accepted and will not accept any non-cash benefit from your former employer that is provided in lieu of such a prohibited cash payment.

SECTION 5 – ADDITIONAL ETHICS CONSIDERATIONS

In addition to the recusal obligations discussed above, you are also prohibited from using or permitting the use of your Government position or title or any authority associated with your public office in a manner that could reasonably be construed to imply that the Department or the Government sanctions or endorses your personal activities or those of another entity or individual. 5 C.F.R. § 2635.702. Further, under 5 C.F.R. § 2635.808, your ability to engage in

⁹ A “particular matter involving specific parties” will typically involve “a specific proceeding affecting the legal rights of the parties or an isolatable transaction or related set of transactions between identified parties, such as a specific contract, grant, license, product approval application, enforcement action, administrative adjudication, or court case.” 5 C.F.R. § 2641.201(h).

¹⁰ OGE has advised that the expanded definition of a “particular matter involving specific parties” is not intended to interfere with political appointees’ ability to consult with experts at educational institutions and “think tanks” on general policy matters in instances where such entities do not have a financial interests, as opposed to solely an academic or ideological interest. See OGE Legal Advisory DO-09-011, FN 2. As the application of the Ethics Pledge is fact specific to each situation and at times complex, the DEO recommends ethics consultation for guidance prior to meeting with any such entity, to the extent a former employer or client, as defined by the Ethics Pledge, on general policy matters.

fundraising activities in your personal capacity is also limited. You are prohibited from using or permitting the use of your official title, position or any authority associated with your public office to further a personal capacity fundraising effort. 5 C.F.R. § 2635.808. These limitations apply to your service as a board member of the George Washington Middle School PTA and as a Girl Scout Troop Leader. Please consult as needed and appropriate with the DEO for further ethics guidance and assistance on any questions related to the limitations discussed above.

Finally, please note that the Rules of Professional Responsibility are beyond the scope of the DEO's review, so you should review your applicable Rules of Professional Responsibility in order to ensure that you are in compliance with any applicable requirements during your appointment at DOI. In particular, you should ensure that you take all necessary steps, including removing yourself as counsel, to comply with the requirements of 18 U.S.C. § 203, which prohibits an employee from receiving, agreeing to receive, or soliciting compensation for representational services, rendered either personally or by another, before any court or Federal agency or other specified Federal entity, in connection with any particular matter in which the United States is a party or has a direct and substantial interest, and 18 U.S.C. § 205, which prohibits Federal employees from personally representing anyone before any court or Federal agency or other specified Federal entity, in connection with any particular matter in which the United States is a party or has a direct and substantial interest.

SECTION 6 – IMPLEMENTATION OF ETHICS GUIDANCE

To assist you in implementing the ethics guidance set forth in this memorandum, the DEO has prepared a List of Recusals and Quick Reference Chart, included as *Attachment D* to this memorandum. You have an obligation to continue to update the DEO about changed circumstances, including changes to your financial interests, changes in your personal or business relationships, or any changes to the nature of your DOI duties and responsibilities, so that the ethics guidance provided in this memorandum can be updated as needed and your recusal obligations can be documented. The DEO will also assist you in documenting your recusal obligations through a separate Ethics Recusals & Screening Arrangement memorandum, which also meets the requirements of Section 4(a)(iii) of Executive Order 13989.

As a reminder, only a designated ethics official from the DEO can make ethics determinations on which DOI employees may authoritatively rely upon. Therefore, throughout the duration of your appointment, please contact the DEO with any questions about your recusal obligations discussed above or for further ethics guidance.

Attachment A – Guidance for Recusal Analysis

Attachment B – 2021 List of Prohibited Investments

Attachment C – Ethics Pledge (signed January 23, 2021)

Attachment D – List of Recusals and Quick Reference Chart

Attachment A
Guidance for Recusal Analysis

Guidance for Recusal Analysis

To determine whether you may participate in a given matter, you must first determine whether that “matter” is a broad policy directed to the interests of a large and diverse group of persons or one of the two types of “particular matters” -- a “particular matter of general applicability” or a “particular matter involving specific parties.”

In the context of the ethics rules, the unmodified term “matter” refers to virtually all Government work. It includes the consideration of broad policy options that are directed to the interests of a large and diverse group of persons. For instance, health and safety regulations applicable to all employers or a legislative proposal for tax reform. It also includes more narrowly defined “particular matters.”

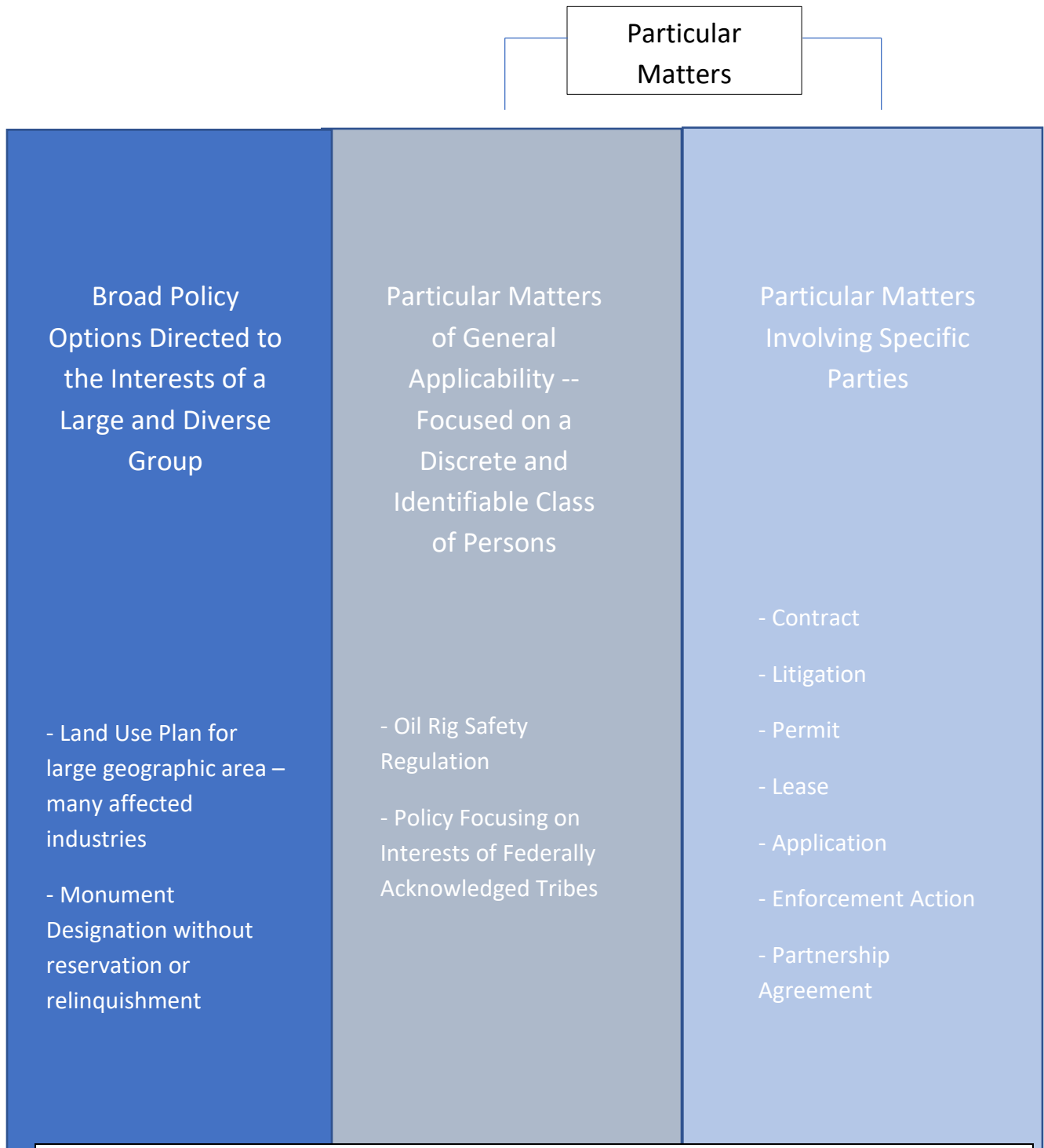
The term “particular matter” means only matters that involve deliberation, decision, or action that is focused on the interests of (1) specific persons or (2) a discrete and identifiable class of persons. These two types of particular matters are defined separately as “particular matters involving specific parties” and “particular matters of general applicability.” (See diagram on page 2 of this Attachment.)

A “particular matter involving specific parties” typically involves a specific proceeding affecting the legal rights of the parties, or an isolatable transaction or related set of transactions between identified parties. Examples include contracts, grants, licenses, investigations, litigation, and partnership agreements. This is the narrowest type of matter.

A “particular matter of general applicability” does not involve specific parties but at least focuses on the interests of a discrete and identifiable class, such as a particular industry or profession. Examples include rulemaking, legislation, or policymaking of general applicability that affect a particular industry or profession. For instance, a regulation prescribing safety standards for operators of oil rigs in the Gulf of Mexico or a regulation applicable to all those who have grazing permits on DOI public lands. On the other hand, a land use plan covering a large geographic area and affecting a number of industries (*e.g.*, agriculture; grazing; mining; timber; recreation; wind, solar, and/or geothermal power generation; etc.) would not constitute a “particular matter of general applicability” but, rather, would still fall within the broader definition of “matter,” as it constitutes a broad policy directed to the interests of a large and diverse group of persons.

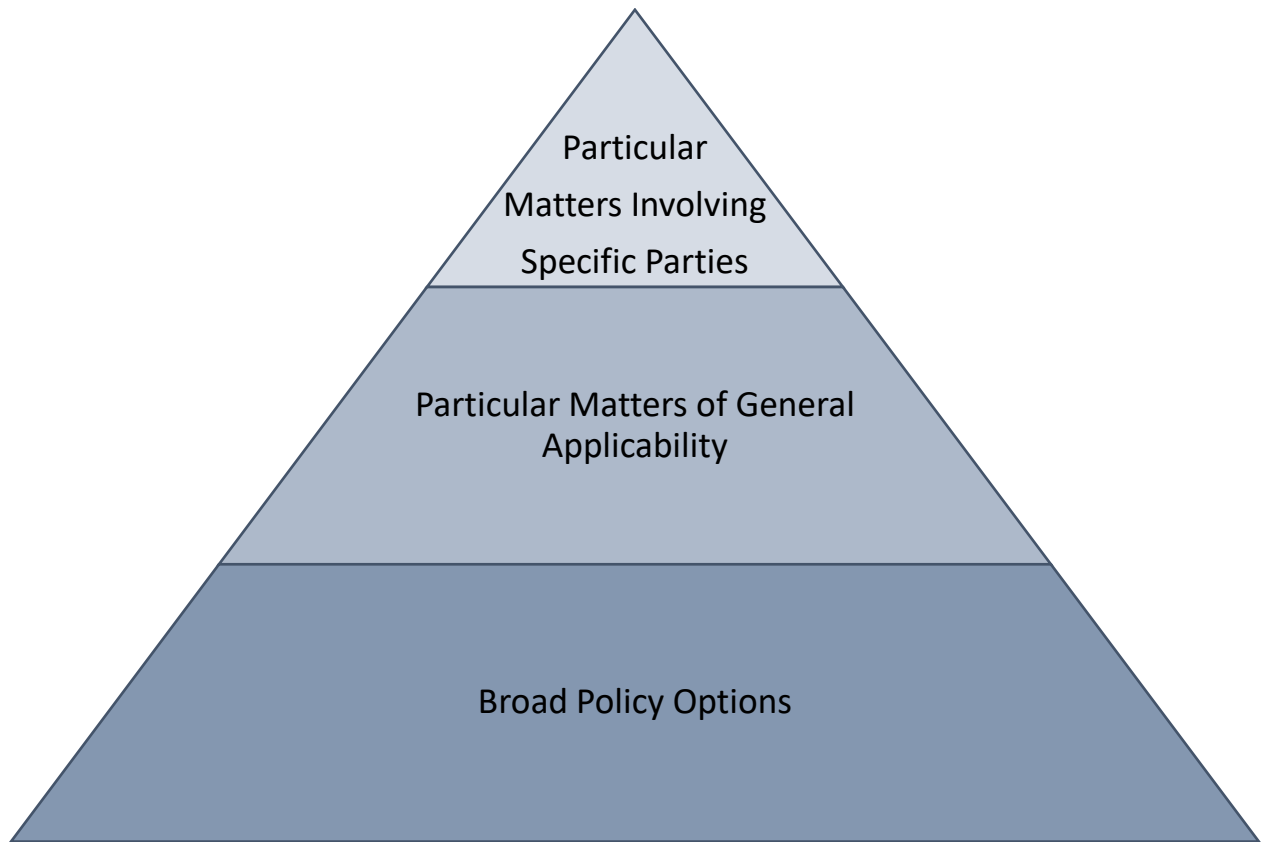
To assist you in complying with his ethics requirements, you and/or your screener must gather sufficient information regarding a matter before the DOI to determine whether the matter constitutes a particular matter involving specific parties or a particular matter of general applicability, or falls into the category of broad policy options that are directed to the interests of a large and diverse group of persons. Please do not hesitate to contact the DEO with any questions about your recusal obligations discussed above or for further ethics guidance.

Matters* – Three Types

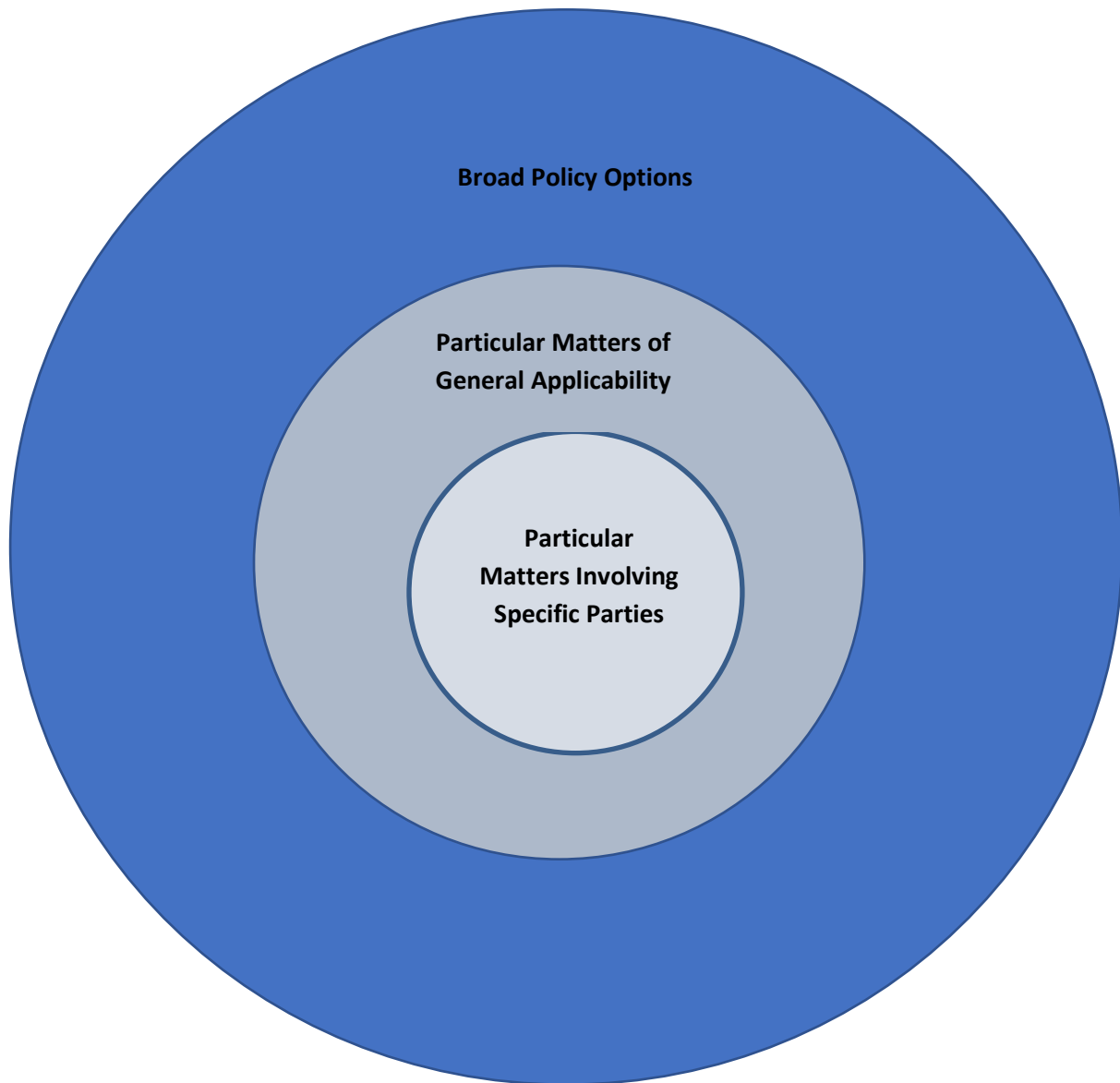


*Please note that the examples provided above should be considered illustrative only. Please seek advice from the Departmental Ethics Office for an ethics determination on specific facts, issues, actions and decisions.

Three Types of Matters



Three Types of Matters



Attachment B
2021 List of Prohibited Investments



Departmental Ethics Office U.S. Department of the Interior

2021 List of Prohibited Financial Interests for

Office of the Secretary and Office of the Solicitor employees (GS-15 and above) and Office of Natural Resources Revenue employees (at all grades)

The Departmental Ethics Office (DEO) has issued an updated list of prohibited investments for Office of the Secretary and Office of the Solicitor (OS/SOL) employees for 2021. If you are in a **GS-15 or above** position in OS/SOL, this list of prohibited investments applies to you.

This list of prohibited investments also applies to **all** Office of Natural Resources Revenue (ONRR) employees within OS, at all grade levels.

Prohibited investments. All OS/SOL employees GS-15 and above, and all ONRR employees at all grade levels, are prohibited from acquiring or holding “any direct or indirect financial interests in Federal lands or resources administered or controlled by the Department.” Among other things, this prohibition precludes stock or bond investment in many companies that hold Department-granted permits and leases in federal lands.

Each year, ethics officials compile a list of prohibited investments. The 2021 list of prohibited investments is included below and includes investments with oil, gas, solar, wind, geothermal, and mineral rights in federal lands above specified thresholds. Note that many publicly traded companies hold interests in federal lands through private subsidiaries and these subsidiaries are not separately listed. If you have questions about whether investment in certain subsidiaries of publicly traded companies or other privately owned companies is prohibited, please contact an ethics official for additional guidance. Please be aware that the Department’s leasing activity and corporate ownership structures change frequently and this list remains in effect until updated in writing.

What if you have prohibited investments? If you have a prohibited investment, please contact the DEO at once to discuss your options. DOI regulations provide some limited exceptions and waiver authority. If you must sell an investment to comply with ethics laws, you may be able to defer paying capital gains taxes if you obtain a certificate of divestiture from the U.S. Office of Government Ethics **before** you sell.

What if you are GS-14 or below? If you are an OS/SOL employee GS-14 or below, you are not restricted from investing in these companies but if you do so, you must comply with the prohibition on participating in certain government actions affecting your personal financial interests for these and any other investments. Note that the list of prohibited investments applies to all ONRR employees, at all grade levels.

Other supplemental ethics requirements. In addition to complying with all other executive branch ethics requirements, **all** Department employees, their spouses, and their minor children are also prohibited from acquiring or retaining any claim, permit, lease, small tract entries, or other rights that are granted by the Department in Federal lands.

Employees who perform duties or functions under the Surface Mining Control and Reclamation Act of 1977 (SMCRA) are also prohibited from having any interests in underground or surface coal mining operations. If you perform duties or functions under SMCRA, please contact your ethics official for further guidance.

We remain available to provide guidance to assist you in complying with this, and all other, ethics requirements.

Parent Company	Ticker Symbol (NYSE or NASDAQ unless otherwise noted)
AES Corporation	AES
Albemarle Corporation	ALB
Apache Corporation	APA
Arch Resources Incorporated (formerly Arch Coal)	ARCH
Avangrid Incorporated	AGR
Barrick Gold Corporation	GOLD

Berkshire Hathaway Incorporated	BRK.A (Class A) & BRK.B (Class B); & PPWLM on OTC
BHP	BHP & BBL
BP	BP
Brookfield Asset Management Incorporated	BAM
Brookfield Renewable Partners Limited Partnership	BEP
Chesapeake Energy Corporation	CHKAQ on OTC
Chevron Corporation	CVX
Clearway Energy	CWEN
CNOOC Limited	CEO
ConocoPhillips	COP
Crystal Peak Minerals Incorporated	CPMMF on OTC
Devon Energy Corporation	DVN
Dominion Energy Incorporated	D
EDP Renewables SA	EDRVF on OTC
Enel S.p.A.	ENIA
Eni S.p.A.	E
EOG Resources Incorporated	EOG
Eolus Vind	EOLU-B on STO
Equinor ASA	EQNR
Eversource Energy	ES
Exxon Mobil Corporation	XOM
First Solar, Inc.	FSLR

Genesis Energy Limited Partnership	GEL
Grizzly Energy Limited Liability Company	GRZZU on OTC
Hess Corporation	HES
Iberdrola	IBDRY & IBDSF on OTC
Innergex Renewable Energy Incorporated	INGXF on OTC
Intrepid Potash Incorporated	IPI
Itafos	MBCFF on OTC
Kosmos Energy Limited	KOS
Marathon Oil Corporation	MRO
Mosaic Company	MOS
Murphy Oil Corporation	MUR
NextEra Energy Incorporated	NEE
NorthWestern Corporation	NWE
Occidental Petroleum Corporation	OXY
Ormat Technologies Incorporated	ORA
Ørsted AS	DOGEF & DNNGY on OTC
Ovintiv Incorporated (Formerly Encana Corporation)	OVV
Peabody Energy Company	BTU
Royal Dutch Shell	RDS.A (Class A) & RDS.B (Class B)
Solvay SA	SOLVY & SVYSF on OTC
Talos Energy Incorporated	TALO
Tata Chemicals Limited	TATACHEM on NSE
Total SE	TOT

W&T Offshore Incorporated	WTI
WPX Energy Incorporated	WPX

Questions? Please contact an ethics official for more information.

OS/SOL Financial Disclosure Team

- Monica L. Garcia, Financial Disclosure Team Lead, at monica.garcia@sol.doi.gov or (202) 208-0460
- Alisha Avril, Ethics Specialist, at alisha.avril@sol.doi.gov
- Tia Barner, Ethics Specialist, at tia.barner@sol.doi.gov
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ONRR Deputy Ethics Counselor

- Scott Currie, ONRR Deputy Ethics Counselor at scott.currie@sol.doi.gov or (202) 208-2151

Attachment C
Ethics Pledge (signed January 23, 2021)

ETHICS PLEDGE

I recognize that this pledge is part of a broader ethics in government plan designed to restore and maintain public trust in government, and I commit myself to conduct consistent with that plan. I commit to decision-making on the merits and exclusively in the public interest, without regard to private gain or personal benefit. I commit to conduct that upholds the independence of law enforcement and precludes improper interference with investigative or prosecutorial decisions of the Department of Justice. I commit to ethical choices of post-Government employment that do not raise the appearance that I have used my Government service for private gain, including by using confidential information acquired and relationships established for the benefit of future clients.

Accordingly, as a condition, and in consideration, of my employment in the United States Government in a position invested with the public trust, I commit myself to the following obligations, which I understand are binding on me and are enforceable under law:

1. *Lobbyist Gift Ban.* I will not accept gifts from registered lobbyists or lobbying organizations for the duration of my service as an appointee.
2. *Revolving Door Ban — All Appointees Entering Government.* I will not for a period of 2 years from the date of my appointment participate in any particular matter involving specific parties that is directly and substantially related to my former employer or former clients, including regulations and contracts.
3. *Revolving Door Ban — Lobbyists and Registered Agents Entering Government.* If I was registered under the Lobbying Disclosure Act, 2 U.S.C. 1601 *et seq.*, or the Foreign Agents Registration Act (FARA), 22 U.S.C. 611 *et seq.*, within the 2 years before the date of my appointment, in addition to abiding by the limitations of paragraph 2, I will not for a period of 2 years after the date of my appointment:
 - (a) participate in any particular matter on which I lobbied, or engaged in registrable activity under FARA, within the 2 years before the date of my appointment;
 - (b) participate in the specific issue area in which that particular matter falls; or
 - (c) seek or accept employment with any executive agency with respect to which I lobbied, or engaged in registrable activity under FARA, within the 2 years before the date of my appointment.
4. *Revolving Door Ban — Appointees Leaving Government.* If, upon my departure from the Government, I am covered by the post-employment restrictions on communicating with employees of my former executive agency set forth in section 207(c) of title 18, United States Code, and its implementing regulations, I agree that I will abide by those restrictions for a period of 2 years following the end of my appointment. I will abide by these same restrictions with respect to communicating with the senior White House staff.
5. *Revolving Door Ban — Senior and Very Senior Appointees Leaving Government.* If, upon my departure from the Government, I am covered by the post-employment restrictions set forth in sections 207(c) or 207(d) of title 18, United States Code, and those sections' implementing regulations, I agree that, in addition, for a period of 1 year following the end of my appointment, I will not materially assist others in making communications or appearances that I am prohibited from undertaking myself by (a) holding myself out as being available to engage in lobbying activities in support of any such communications or appearances; or (b) engaging in any such lobbying activities.
6. *Revolving Door Ban — Appointees Leaving Government to Lobby.* In addition to abiding by the limitations of paragraph 4, I also agree, upon leaving Government service, not to lobby any covered executive branch official or non-career Senior Executive Service appointee, or engage in any activity on behalf of any foreign government or foreign political party which, were it undertaken on January 20, 2021, would require that I register under FARA, for the remainder of the Administration or 2 years following the end of my appointment, whichever is later.
7. *Golden Parachute Ban.* I have not accepted and will not accept, including after entering Government, any salary or other cash payment from my former employer the eligibility for and payment of which is limited to individuals accepting a position in the United States Government. I also have not accepted and will not accept any non-cash benefit from my former employer that is provided in lieu of such a prohibited cash payment.
8. *Employment Qualification Commitment.* I agree that any hiring or other employment decisions I make will be based on the candidate's qualifications, competence, and experience.
9. *Assent to Enforcement.* I acknowledge that the Executive Order entitled "Ethics Commitments by Executive Branch Personnel," issued by the President on January 20, 2021, which I have read before signing this document, defines certain of the terms applicable to the foregoing obligations and sets forth the methods for enforcing them. I expressly accept the provisions of that Executive Order as a part of this agreement and as binding on me. I understand that the terms of this pledge are in addition to any statutory or other legal restrictions applicable to me by virtue of Federal Government service.



Signature

_____, 20____
Date

Name (Type or Print): _____

Attachment D
List of Recusals and Quick Reference Chart

List of Recusals and Quick Reference Chart

Based on information provided to the Departmental Ethics Office (DEO), this attachment lists your recusals from current positions and interests, as well as your former clients, former employers, financial interests, and other recusals. The inclusion of an individual or entity on this list does not necessarily mean that a determination has been made that you will be excluded from participating in all issues, actions, and decisions related to the individual or entity at the Department of the Interior (DOI). Rather, the placement of an individual or entity on this list indicates that further screening must take place and, if necessary, additional advice from the DEO should be sought.

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
George Washington Middle School Parent Teacher Association			Do not participate personally and substantially in any particular matter that you know has a direct and predictable effect on your personal or imputed financial interests	18 U.S.C. § 208	Participation only permitted if a written waiver, pursuant or the asset qualifies for an exemption; scope of the recusal will be modified when you are no longer a board member for this entity
State Energy & Environmental Impact Center at NYU School of Law (State Impact Center)	Do not participate personally and substantially in a particular matter involving specific		Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your	E.O. 13989; 5 C.F.R. § 2635.502	

¹ Including serving as an “officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee.” 5 C.F.R. § 2635.502(b)(1)(iv).

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
	parties (PMSP) ² that is directly and substantially related to this former employer		official duties and seek DEO advice, as appropriate		
American University	Do not participate personally and substantially in a PMSP that is directly and substantially related to this former employer		Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	E.O. 13989; 5 C.F.R. § 2635.502	
PT Fund, Inc. (the Biden-Harris Presidential Transition Team)	Do not participate personally and substantially in a PMSP that is directly and substantially related to this former employer		Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	E.O. 13989; 5 C.F.R. § 2635.502	
State of Maryland		Consider appearances before personal and substantial participation in a PMSP if you know the	Consider appearances and take appropriate steps to avoid an appearance of loss of	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client

² For the purpose of the Ethics Pledge, the term “particular matter involving specific parties” has the meaning set forth in 5 C.F.R. § 2641.201(h), except that it also includes **any meeting or other communication relating to the performance of an employee’s official duties**, unless the communication applies to a particular matter of general applicability and participation in the meeting or other event is open to all interested parties.

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
		former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	impartiality in the performance of your official duties and seek DEO advice, as appropriate		ends on January 16, 2022 ³
State of Massachusetts		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022
State of Minnesota		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022

³ Covered relationship with a former employer or former client ends one year after last performing personal services or until any outstanding financial obligation, such as repayment of a capital account or payment of an outstanding fee, is satisfied, whichever is latest.

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
State of New York		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022
State of Washington		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022
Invariant, your spouse's employer ⁴			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

⁴ Including any person or entity for whom your spouse is serving as an “officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee.” 5 C.F.R. § 2635.502(b)(1)(iii).

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Fitbit, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Palantir, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Cigna, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Ready Responders, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Hearst Corporation, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
BioIQ, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
DSM, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
TriNet, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Health Catalyst, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Antheia, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
ZocDoc, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
VSP, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Baxter, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Anduril, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Poet, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Carrier, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Hudson Technologies your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Molekule, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Advantek, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Uranium Producers of America, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Geothermal Exchange Organization, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Solugen, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Everlywell (now called Everly Health), your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Forward Health, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
CORE/Donor Alliance, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
MSA, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Modern Health, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Sunnova, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Aeroseal, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Echostone, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Tri-County Electric, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Accenture, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship



United States Department of the Interior

June 5, 2021

MEMORANDUM

To: Heather C. Gottry, Director, Departmental Ethics Office
& Designated Agency Ethics Official

From: Elizabeth Klein, Senior Counselor to the Secretary

Subject: Ethics Recusals & Screening Arrangement

This memorandum serves to document my ethics recusals and establishes the screening arrangement that I am implementing in order to ensure that I comply with all recusal and other ethics obligations required by law. Additionally, this memorandum fulfills the requirement established in Section 4(a)(iii) of Executive Order 13989 entitled, "Executive Order on Ethics Commitments by Executive Branch Personnel" (Jan. 20, 2021) (Ethics Pledge).

I have consulted with the Departmental Ethics Office (DEO) and have been advised about my recusal obligations while serving as an appointee of the U.S. Department of the Interior (DOI). As reflected in my Ethics Guidance on Recusal Obligations memorandum, dated June 4, 2021, which provides ethics guidance based on my certified New Entrant Public Financial Disclosure Report (OGE Form 278e) and information that I have provided to the DEO, I understand that I have a continuing obligation to limit my personal and substantial participation in certain matters in which I have either direct or imputed financial interests, or personal or business relationship(s), pursuant to ethics laws, regulations, and the Ethics Pledge, which I signed on January 23, 2021.

SECTION 1 – SCREENING ARRANGEMENT

In order to help ensure that I do not participate in matters relating to any of the individuals or entities discussed in my Ethics Guidance on Recusal Obligations memorandum, and as summarized and listed on the attached List of Recusals and Quick Reference Chart, I have taken the following steps to implement a screening arrangement:

1. In coordination with the DEO, I have established the screening process below to assist in screening DOI matters directed to my attention or that require my participation which

also involve the individuals or entities on the attached List of Recusals and Quick Reference Chart.

2. I have instructed my Screener to review DOI matters directed to my attention or that require my participation which involve the individuals or entities on the attached List of Recusals and Quick Reference Chart in order to determine whether I am recused from participating in the matter in question. Gareth Rees, Immediate Office of the Secretary, currently serves as my Screener.
3. All matters involving the individuals or entities listed on the attached List of Recusals and Quick Reference Chart should be directed to my Screener without my knowledge or involvement until after the applicable recusal period ends.
4. If my Screener determines that a matter involves any of the individuals or entities listed on the attached List of Recusals and Quick Reference Chart and that I am recused from the matter, then they will refer the matter to Larry Roberts, Chief of Staff, for action or assignment, without my knowledge or involvement.
5. I will continue to personally take my calls and screen my e-mail communications. If a matter involving any of the individuals or entities listed on the attached List of Recusals and Quick Reference Chart is directed to my attention, I will not take any action, but immediately forward the matter to my Screener for review. If I am recused, then my Screener will refer the matter to Larry Roberts, Chief of Staff, for action or assignment, without my knowledge or involvement.
6. I will provide my Screener with a copy of this memorandum and attached List of Recusals and Quick Reference Chart, as well as my Ethics Guidance on Recusal Obligations memorandum, so that my Screener will fully understand the purpose and scope of my recusal obligations. In order to help ensure that I do not inadvertently participate in matters from which I should be recused, it is my expectation that my Screener will seek the assistance of the DEO if they are ever uncertain whether I may or may not participate in a matter.
7. I will also provide my principal subordinates with a copy of this this memorandum and attached List of Recusals and Quick Reference Chart. I will further instruct my principal subordinates that all inquiries involving my recusal obligations with respect to the individuals or entities listed on the attached List of Recusals and Quick Reference Chart should be directed to my Screener without my knowledge or involvement.

I understand that for the duration of this screening arrangement that I commit to working closely with my Screener and diligently reviewing issues, actions, and decisions that come before me in order to determine whether any of the individuals or entities discussed in the Ethics Guidance on Recusal Obligations memorandum and listed on the attached List of Recusals and

Quick Reference Chart are involved in the issues, actions, and decisions. I have been advised that the identification of party matters pending within the DOI in which the individuals or entities listed on the attached List of Recusals and Quick Reference Chart are parties or represent parties, may require my Screener, Bureau or Office staff members, Solicitor's Office staff assigned to the matters in question, and the DEO to carefully review my potential participation. Additionally, I understand that there may be times when there will be a delay in reviewing and potentially clearing my participation in matters as a result of screening for ethics compliance. I understand that, while efforts can and will be made to minimize any delays created by ethics recusal reviews, these delays may impact my ability to promptly participate in matters, including certain meetings and other communications.

SECTION 2 – UPDATE THE DEO & SCREENING ARRANGMENT AS NECESSARY

In consultation with the DEO, I will revise and update this memorandum whenever warranted by changed circumstances, including changes to my financial interests, changes in my personal, business, or other covered relationships, or any changes to the nature of my Department duties. In the event of any required updates to my screening arrangement, I will provide a copy of a revised memorandum and attachment to my Screener, my principal subordinates, and the DEO. Finally, I understand that ethics advice must come from the DEO, as only a designated ethics official can make ethics determinations on which Department employees may authoritatively rely upon and will consult with DEO as necessary and appropriate.

Attachment – List of Recusals and Quick Reference Chart

Cc: Larry Roberts, Chief of Staff
Gareth Rees, Immediate Office of the Secretary

Attachment
List of Recusals and Quick Reference Chart

List of Recusals and Quick Reference Chart

Based on information provided to the Departmental Ethics Office (DEO), this attachment lists your recusals from current positions and interests, as well as your former clients, former employers, financial interests, and other recusals. The inclusion of an individual or entity on this list does not necessarily mean that a determination has been made that you will be excluded from participating in all issues, actions, and decisions related to the individual or entity at the Department of the Interior (DOI). Rather, the placement of an individual or entity on this list indicates that further screening must take place and, if necessary, additional advice from the DEO should be sought.

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
George Washington Middle School Parent Teacher Association			Do not participate personally and substantially in any particular matter that you know has a direct and predictable effect on your personal or imputed financial interests	18 U.S.C. § 208	Participation only permitted if a written waiver, pursuant to the asset qualifies for an exemption; scope of the recusal will be modified when you are no longer a board member for this entity
State Energy & Environmental Impact Center at NYU School of Law (State Impact Center)	Do not participate personally and substantially in a particular matter involving specific		Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your	E.O. 13989; 5 C.F.R. § 2635.502	

¹ Including serving as an “officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee.” 5 C.F.R. § 2635.502(b)(1)(iv).

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
	parties (PMSP) ² that is directly and substantially related to this former employer		official duties and seek DEO advice, as appropriate		
American University	Do not participate personally and substantially in a PMSP that is directly and substantially related to this former employer		Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	E.O. 13989; 5 C.F.R. § 2635.502	
PT Fund, Inc. (the Biden-Harris Presidential Transition Team)	Do not participate personally and substantially in a PMSP that is directly and substantially related to this former employer		Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	E.O. 13989; 5 C.F.R. § 2635.502	
State of Maryland		Consider appearances before personal and substantial participation in a PMSP if you know the	Consider appearances and take appropriate steps to avoid an appearance of loss of	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client

² For the purpose of the Ethics Pledge, the term “particular matter involving specific parties” has the meaning set forth in 5 C.F.R. § 2641.201(h), except that it also includes **any meeting** or **other communication relating to the performance of an employee’s official duties**, unless the communication applies to a particular matter of general applicability and participation in the meeting or other event is open to all interested parties.

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
		former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	impartiality in the performance of your official duties and seek DEO advice, as appropriate		ends on January 16, 2022 ³
State of Massachusetts		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022
State of Minnesota		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022

³ Covered relationship with a former employer or former client ends one year after last performing personal services or until any outstanding financial obligation, such as repayment of a capital account or payment of an outstanding fee, is satisfied, whichever is latest.

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
State of New York		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022
State of Washington		Consider appearances before personal and substantial participation in a PMSP if you know the former employer/client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	Consider appearances and take appropriate steps to avoid an appearance of loss of impartiality in the performance of your official duties and seek DEO advice, as appropriate	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship with former employer/client ends on January 16, 2022
Invariant, your spouse's employer ⁴			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

⁴ Including any person or entity for whom your spouse is serving as an “officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee.” 5 C.F.R. § 2635.502(b)(1)(iii).

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Fitbit, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Palantir, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Cigna, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Ready Responders, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Hearst Corporation, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
BioIQ, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
DSM, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
TriNet, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Health Catalyst, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Antheia, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
ZocDoc, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
VSP, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Baxter, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Anduril, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Poet, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Carrier, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Hudson Technologies your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Molekule, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Advantek, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Uranium Producers of America, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Geothermal Exchange Organization, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Solugen, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Everlywell (now called Everly Health), your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Forward Health, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
CORE/Donor Alliance, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
MSA, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Modern Health, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
Sunnova, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Aeroseal, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Echostone, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or

Individual or entity	Within 2 years of appointment (on or after January 21, 2023)	Within one year of last providing services ¹	At all times	Authorities	Comments
			or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem		client relationship
Tri-County Electric, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship
Accenture, your spouse's client			Consider appearances before personal and substantial participation in a PMSP if you know your spouse's employer or client is a party or represents a party to the PMSP and seek DEO guidance if you determine that there is an appearance problem	5 C.F.R. § 2635.502; 5 C.F.R. § 2635.101(b)(14)	Covered relationship ends when your spouse no longer has an employment or client relationship