



SECRETARY OF DEFENSE
1000 DEFENSE PENTAGON
WASHINGTON, DC 20301-1000

MAY 06 2021

MEMORANDUM FOR DESIGNATED AGENCY ETHICS OFFICIAL

SUBJECT: Ethics Obligations and Updated Screening Arrangement

This memorandum updates the screening arrangement I executed with the assistance of the Standards of Conduct Office (SOCO) to implement my ethics obligations. My obligations are set forth in the Ethics Agreement that I signed prior to my confirmation by the United States Senate for the position of Secretary of Defense, and the President's Ethics Pledge¹ of January 20, 2021. Specifically, this screening arrangement has been updated to account for my recent divestitures and supersedes the screening arrangement dated January 22, 2021.

It is my understanding that none of the restrictions described below will preclude me from participating in a personal or official capacity in any social, ceremonial, or other public affairs events that include personnel from any of these organizations. Similarly, when not taking any official action, I may be allowed to attend meetings and receive information regarding these organizations for situational awareness, without participating or providing substantive comment and direction. However, I will consult with an ethics official in the SOCO prior to doing so, as necessary. I will be mindful of not only the legal requirements that govern my conduct, but also of the appearances to ensure that the public has no reason to question my impartiality.

ETHICS OBLIGATIONS

FORMER EMPLOYERS AND CLIENTS

Pursuant to the President's Ethics Pledge of January 20, 2021 and the additional commitments I made in my Senate confirmation hearing, unless I am granted a waiver, I will not participate in a particular matter involving specific parties² that is directly and substantially related to my former employers or former clients,³ including regulations and contracts, for the time periods indicated below. This restriction applies to the following organizations.

- **For Four Years** from the date of my appointment as the Secretary of Defense:
 - **Raytheon Technologies**

¹ Exec. Order No. 13989 (2021)

² "Particular matter involving specific parties" shall have the same meaning as set forth in section 2641.201(h) of title 5, Code of Federal Regulations, except that it shall also include any meeting or other communication relating to the performance of one's official duties with a former employer or former client, 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. Exec. Order No. 13989 (2021)

³ "Directly and substantially related to a former employer or former client" means matters in which the former employer or a former client is a party or represents a party. Exec. Order No. 13989 (2021)



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- **For Two Years** from the date of my appointment as the Secretary of Defense:
 - **Booz Allen Hamilton Holding Company**
 - **Austin Strategy Group, LLC**
 - **Tenet Healthcare Corporation**
 - **Pine Island Capital Partners, LLC**
 - **Nucor Corporation**
 - **Guest Services, Inc.**
 - **Carnegie Corporation**
 - **Auburn University**
 - **Fidelity Investments**
 - **JP Morgan**

While I do not expect that a waiver will be necessary, should an unanticipated circumstance arise that may warrant a waiver, I will consult with an ethics official in the SOCO and consider available alternatives before seeking any waiver or authorization under the ethics rules.

UPDATED SCREENING ARRANGEMENT

To ensure that I do not inadvertently participate in particular matters from which I should be recused, I am directing my Chief of Staff, Executive Secretary, Military Assistants, and other designated Administrative Assistants to screen all matters directed to my attention that involve outside entities, or that require my participation, to determine if any of the following organizations are a party to or represent a party to the matter.

FOR FOUR YEARS FROM MY APPOINTMENT DATE

- **Raytheon Technologies**

FOR TWO YEARS FROM MY APPOINTMENT DATE

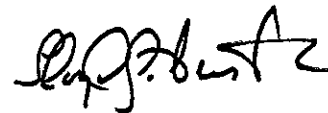
- **Booz Allen Hamilton Holding Company**
- **Austin Strategy Group, LLC**
- **Tenet Healthcare Corporation**
- **Pine Island Capital Partners, LLC**
- **Nucor Corporation**
- **Guest Services, Inc.**
- **Carnegie Corporation**
- **Auburn University**
- **Fidelity Investments**
- **JP Morgan**

If the screener determines that any of these organizations is or represents a party to the matter the screener will refer the matter, without my knowledge or involvement, to the Deputy Secretary of Defense or other appropriate senior Defense official for action or assignment. If the Deputy Secretary or alternate official believes my participation in the matter is important, the Deputy Secretary will contact an ethics official in the SOCO for further guidance.

I also direct each of my screeners to seek assistance from an ethics official in the SOCO if he or she is uncertain whether I may or should participate in the matter. For instance, if one of the organizations is not a party to the matter but is otherwise involved in the matter and my participation in the matter could cause an appearance concern.

The Chief of Staff will ensure that all members of my immediate office staff, to include the Executive Secretary, Military Assistants, and other designated Administrative Assistants receive a copy of this document as part of their onboarding process.

In consultation with ethics officials in the SOCO, I will revise and update this memorandum if warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties. The SOCO may issue additional guidance on standards and procedures to personnel implementing this screening arrangement.



cc:

Deputy Secretary of Defense

Chief of Staff, Secretary of Defense

Chief of Staff, Deputy Secretary of Defense

Executive Secretary

Immediate Office Staff (Secretary and Deputy Secretary of Defense)

DoD Standards of Conduct Office