

Jolene Ann Lauria
Acting Assistant Attorney General for Administration and
Designated Agency Ethics Official
Department of Justice
950 Pennsylvania Ave., NW
Washington, DC 20530

October 10, 2023

Dear Ms. Lauria:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of United States Marshal for the Western District of Arkansas. It is my responsibility to understand and comply with commitments outlined in this Ethics Agreement (Agreement).

SECTION 1 – GENERAL COMMITMENTS

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

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

In the event that an actual or potential conflict of interest arises during my appointment, I will consult with an agency ethics official and take the measures necessary to resolve the conflict, such as recusal from the particular matter or divestiture of an asset.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, 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.

I will receive a live ethics briefing from United States Marshals Service ethics officials after my confirmation but not later than 15 days after my appointment pursuant to the ethics program regulation at 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will submit my

Certification of Ethics Agreement Compliance to United States Marshals Service ethics officials, which documents my compliance with this Agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13989) and that I will be bound by it. Among other obligations, I will be required to recuse from particular matters involving specific parties involving my former employer or former clients for a period of two years after I am appointed, with the exception of federal, state and local government.

I will not modify this Agreement without your approval and the approval of the U.S. Office of Government Ethics pursuant to the ethics agreement requirements contained in the financial disclosure regulation at 5 C.F.R. § 2634.803(a)(4).

SECTION 2 – GRIMES AND ASSOCIATES, LLC

I am the sole proprietor of my consulting firm, which does business as Grimes and Associates, LLC. Upon confirmation, I will cease providing services to my clients and I will refer them to other consulting firms for any ongoing matters. I will complete all such referrals before I assume the duties of the position of U.S. Marshal. Upon confirmation, my consulting firm will cease engaging in any business, including the representation of clients. During my appointment to the position of U.S. Marshal, the consulting firm will remain dormant and will not advertise. I will not perform any services for the firm, except that I will comply with any requirements involving taxes, and fees that are necessary to maintain the consulting firm while it is in an inactive status. As U.S. Marshal, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Grimes and Associates, LLC. All amounts owed to me by any of my clients will be fixed before I assume the duties of the position of U.S. Marshal, and I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of any of these clients to pay these amounts. In addition, pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, I will not participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 3 – OTHER RESIGNATIONS

Upon confirmation, I will resign from my positions with the following entities:

- Fort Smith Regional Airport Commission
- Community School of the Arts

Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 4 – SPOUSE EMPLOYMENT

My spouse is employed by the State of Arkansas as a State Judge for the Sebastian County District Court-Fort Smith District for which my spouse receives a fixed annual salary. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for as long as she continues to hold this position, I will not participate personally and substantially in any particular matter involving specific parties in which I know that the Sebastian County District Court-Fort Smith District is a party or represents a party, unless I am authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, for as long as my spouse continues to work as a State Judge for the State of Arkansas, she has agreed to not participate personally and substantially in any particular federal matter that would involve the United States Marshals Service during the duration of my appointment to the position of U.S. Marshal.

SECTION 5 – PUBLIC POSTING

I have been advised that this Agreement and the Certification of Ethics Agreement Compliance will be posted publicly, consistent with the public information law at 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,


Gary D. Grimes, Sr.