

June 2, 2022

Daniel S. Lee
Designated Agency Ethics Official
Office of the General Counsel
Federal Maritime Commission
800 North Capitol St., NW
Washington, D.C. 20573

Dear Mr. Lee:

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 Commissioner of the Federal Maritime Commission. It is my responsibility to understand and comply with commitments outlined in this 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), obligations of the United States, or municipal bonds.

I will receive a live ethics briefing from a member of the ethics office 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 which documents my compliance with this ethics agreement.

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13989) that I previously signed and that I will continue to 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 ethics 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 – PROHIBITIONS SPECIFIC TO COMMISSIONERS

The statute at 46 U.S.C. § 301(b)(4)(A) states that “[a] Commissioner may not have a pecuniary interest in, hold an official relation to, or own stocks or bonds of any entity the Commission regulates.” The section further states that “[a] Commissioner may not engage in another business, vocation, or employment.” 46 U.S.C. § 301(b)(4)(B).

While holding office, I will not have any pecuniary interest in, hold any official relations to, or own stocks of any entity the Commission regulates. Further, while holding office, I will not engage in another business, vocation, or employment.

SECTION 3 – FORMER POSITION WITH INSTITUTE OF POLITICS AND GLOBAL AFFAIRS AT CORNELL UNIVERSITY

I ended my position with the Institute of Politics and Global Affairs at Cornell University in December 2021. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for a period of one year after my position ended, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Institute of Politics and Global Affairs or Cornell University 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 Corporate Citizenship Company, Inc., a subsidiary of SLR International Corporation, in a position for which she receives a fixed annual salary and a bonus tied to her performance. Pursuant to the impartiality regulation at 5 C.F.R. § 2635.502, for as long as my spouse continues to work for The Corporate Citizenship Company, Inc., I will not participate personally and substantially in any particular matter involving specific parties in which I know this entity or its parent, or any client of my spouse, is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

SECTION 5 – PUBLIC POSTING

I have been advised that this ethics 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,

DANIEL
MAFFEI

Digitally signed by
DANIEL MAFFEI
Date: 2022.06.02
17:00:16 -04'00'

Daniel B. Maffei