

## AGREEMENT WITH OUTSIDE COUNSEL

Agreement # 000000000000000000076618

**THIS AGREEMENT** ("Agreement") is between the State of Indiana acting by and through the Office of the Indiana Attorney General ("Attorney General" or "State") and **AMMEEN VALENZUELA ASSOCIATES LLP** having an office at Barrister Building, Suite 750, 155 East Market Street, Indianapolis, Indiana 46204 ("Counsel").

**Whereas**, the State requires the services of a law firm, pursuant to Ind. Code § 4-6-2-1.5, to represent certain Indiana State employees in the cases brought by James Holden, including any appeal thereof.

**Whereas**, State requires additional services of a law firm, pursuant to Ind. Code § 4-6-2-1.5, to represent the State of Indiana in claims and disciplinary complaints which may arise against State of Indiana employees and state officials in the scope of their employment.

**Whereas**, the State requires additional services of a law firm, pursuant to Ind. Code § 4-6-2-1.5, to represent the State of Indiana in other litigation matters.

**NOW THEREFORE**, the parties agree as follows:

### 1. Scope of Legal Services.

A. Counsel shall provide representation for eligible state employees and state officers pursuant to IC 4-6-1-6, 4-6-2-1 and 4-6-2-1.5 in matters concerning grievance and misconduct complaints filed before the Indiana Disciplinary Commission so long as such grievance or misconduct arise within the scope of employment; litigation matters, primarily in (but not limited to) defense and prosecution of civil lawsuits, enforcement of administrative orders, judicial review of final agency actions, civil appeals, and any other matter type the Attorney General determines to be appropriate for assignment to Counsel and agreed to by Counsel (the "Legal Services"). In addition to the general matters where Counsel may be assigned to provide Legal Services, Counsel shall also provide Legal Services in the matters of *State of Indiana ex rel. James Holden v. Ice Miller, LLC, et al.*, cause number 49D12-2007-PL-022005 and *James R. Holden v. State of Indiana Office of the Treasurer, et al.*, cause number 49D10-1503-CT-007090, and any appeals thereof.

B. Pursuant to Ind. Code § 4-6-5-3, the Indiana Attorney General hereby appoints, employs, and hires Counsel to provide the Legal Services.

C. Counsel shall keep the State advised of the following:

- (1) The status and progress of the matter generally;
- (2) Any significant new issues that arise, whether procedural, legal, factual or substantive;
- (3) Any existing issues for which there are significant new developments to report;
- (4) Any filing, hearing, or imminent decision (or a decision) of dispositive motions;
- (5) Any scheduling of a matter for mediation, and the current financial disparity and issues expected to be involved in the mediation;
- (6) Any trial setting that appears likely to become the actual date upon which the matter may be tried;
- (7) As soon as is practicable, any imminent final disposition, or a final disposition, of the matter;
- (8) Any allegation of record that arises from either the tribunal or any party raising issues of ethical breach or other violation of law or disciplinary rule by Counsel, or

any person employed by or associated with the foregoing or with the Office of Attorney General.

**2. Consideration and Payment.**

A. Counsel will be paid at the rates as set forth on **Exhibit A**, attached and incorporated herein. Total remuneration under this Agreement shall not exceed \$100,000.00.

B. All payments shall be made thirty five (35) days in arrears in conformance with State fiscal policies and procedures and, as required by Ind. Code § 4-13-2-14.8, by electronic funds transfer to the financial institution designated by Counsel in writing unless a specific waiver has been obtained from the Indiana Auditor of State. No payments will be made in advance of receipt of the goods or services that are the subject of this Agreement except as permitted by Ind. Code § 4-13-2-20.

**3. Term.** The term of this Agreement shall begin on September 13, 2023 and end on December 31, 2024.

**4. Access to Files and Records.** The State shall have full, immediate, and unrestricted access to the work product of the Counsel during the term of this Agreement. Upon termination or expiration of this Agreement, Counsel shall, without further request and at no cost to the State, turn over to the State all files relating to the work performed under this Agreement. Counsel acknowledges that it may be required to submit to an audit of funds paid pursuant to this Agreement, and shall maintain at its offices all books, accounting records, and other evidence pertaining to costs incurred and invoiced under this Agreement. Any such audit shall be conducted in accordance with Ind. Code § 5-11-1-1, et seq., and audit guidelines specified by the State. Such materials shall be available during the term of this Agreement and for three (3) years from the date of termination or expiration, for inspection by the State or its authorized designee. Copies thereof shall be furnished at no cost to the State if requested.

**5. Assignment.** Counsel shall not assign or subcontract any part of the Legal Services to be performed under this Agreement without the Attorney General's prior written consent. Counsel may assign its right to receive payments to such third parties as it may desire without the prior written consent of the State, provided that Counsel gives written notice (including evidence of such assignment) to the State thirty (30) days in advance of any payment so assigned. The assignment shall cover all unpaid amounts under this Agreement and shall not be made to more than one party.

**6. Changes in Work.** Counsel shall not change scope of the Legal Services to be performed pursuant to this Agreement or undertake additional work on behalf of the State unless authorized in writing by the Attorney General. No claim for additional compensation shall be made in the absence of a prior written agreement.

**7. Compliance with Licensing Requirements.**

A. Counsel, its partners and employees shall comply with all applicable registration and licensing requirements, rules, standards and codes of conduct governing the practice of law and the transaction of business regarding this Agreement.

B. Counsel shall immediately notify the State if any disciplinary actions are brought against it or any of its attorneys in any jurisdiction.

C. Counsel certifies, by entering into this Agreement, that neither it nor any of its partners, associates or any other attorney associated with Counsel is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into this Agreement by any federal agency or by any department, agency or political subdivision of the State of Indiana.

**8. Compliance with Laws.**

A. Counsel and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State as set forth in Ind. Code § 4-2-6, et seq., Ind. Code § 4-2-7, et seq. and the regulations promulgated thereunder. **If Counsel has knowledge, or would have acquired knowledge with reasonable inquiry, that a state officer, employee, or special state appointee, as those terms are defined in Ind. Code § 4-2-6-1, has a financial interest in the Agreement, Counsel shall ensure compliance with the disclosure requirements in Ind. Code § 4-2-6-10.5 prior to the execution of this Agreement.** If Counsel is not familiar with these ethical requirements, Counsel should refer any questions to the Indiana State Ethics Commission, or visit the Inspector General's website at <http://www.in.gov/ig/>. If Counsel or its agents violate any applicable ethical standards, the State may, in its sole discretion, terminate this Agreement immediately upon notice to Counsel. In addition, Counsel may be subject to penalties under Ind. Code §§ 4-2-6, 4-2-7, 35-44.1-1-4, and under any other applicable laws.

B. Counsel certifies by entering into this Agreement that neither it nor its principal(s) is presently in arrears in payment of taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. Counsel agrees that any payments currently due to the State of Indiana may be withheld from payments due to Counsel. Additionally, further work or payments may be withheld, delayed, or denied and/or this Agreement suspended until Counsel is current in its payments and has submitted proof of such payment to the State.

C. Counsel affirms that, if it is an entity described in Ind. Code Title 23, it is properly registered and owes no outstanding reports to the Indiana Secretary of State.

D. As required by Ind. Code § 5-22-3-7:

(1) The Counsel and any principals of the Counsel certify that:

(A) The Counsel, except for de minimis and nonsystematic violations, has not violated the terms of:

- (I) IC § 24-4.7 [Telephone Solicitation Of Consumers];
- (II) IC § 24-5-12 [Telephone Solicitations]; or
- (III) IC § 24-5-14 [Regulation of Automatic Dialing Machines];

in the previous three hundred sixty-five (365) days, even if IC § 24-4.7 is preempted by federal law; and

(B) the Counsel will not violate the terms of IC § 24-4.7 for the duration of the Agreement, even if IC § 24-4.7 is preempted by federal law.

(2) The Counsel and any principals of the Counsel certify that an affiliate or principal of the Counsel and any agent acting on behalf of the Counsel or on behalf of an affiliate or principal of the Counsel, except for de minimis and nonsystematic violations,

(A) has not violated the terms of IC § 24-4.7 in the previous three hundred sixty-five (365) days, even if IC § 24-4.7 is preempted by federal law; and

(B) will not violate the terms of IC § 24-4.7 for the duration of the Agreement, even if IC § 24-4.7 is preempted by federal law.

**9. Conflict of Interest.**

A. Counsel represents and warrants that, after due and diligent inquiry, it is satisfied that it has no Conflict of Interest (as that term is defined in the Indiana Rules of Professional Conduct) that will preclude it from providing the Legal Services.

B. Counsel represents and warrants that its performance of the Legal Services will not violate the statutes and regulations relating to the ethical conduct of state employees, including but not limited to of Ind. Code § 4-2-6-6 ("Present or former state officers, employees, and special state appointees; compensation resulting from confidential information"), Ind. Code § 4-2-6-9 ("Conflict of economic interest"), or Ind. Code § 4-2-6-10.5 ("Prohibition against financial interest in contract").

**10. Continuity of Services.** Counsel recognizes that the Legal Services provided under this Agreement are vital to the State and must be continued without interruption and that, upon expiration or termination of this Agreement, a successor, either the State or another Counsel, may continue them. Counsel shall use its best efforts and cooperation to effect an orderly and efficient transition to a successor, and shall be reimbursed for all reasonable transition costs.

**11. Disputes.** Counsel agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all its responsibilities under this Agreement that are not affected by the dispute. Should Counsel fail to continue to perform its responsibilities as regards all non-disputed work, any additional costs incurred by the State or Counsel as a result of such failure shall be borne by Counsel, and Counsel shall make no claim against the State for such costs.

**12. Drug-Free Workplace Certification.** As required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana, Counsel hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. Counsel will give written notice to the State within ten (10) days after receiving actual notice that Counsel, or an employee of Counsel in the State of Indiana, has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of this certification may result in sanctions including, but not limited to, suspension of contract payments, termination of the Agreement and/or debarment of contracting opportunities with the State of Indiana for up to three (3) years.

In addition to the provisions of the above paragraphs, if the total amount set forth in this Agreement is in excess of \$25,000.00, Counsel certifies and agrees that it will provide a drug-free workplace by:

A. Publishing and providing to all of its employees a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Counsel's workplace and specifying the actions that will be taken against employees for violations of such prohibition;

B. Establishing a drug-free awareness program to inform its employees of: (1) the dangers of drug abuse in the workplace; (2) Counsel's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace; and

C. Notifying all employees in the statement required by subparagraph (A) above that as a condition of continued employment the employee will: (1) abide by the terms of the statement; and (2) notify Counsel of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction;

D. Notifying in writing the State within ten (10) days after receiving notice from an employee under subdivision (C)(2) above, or otherwise receiving actual notice of such conviction;

E. Within thirty (30) days after receiving notice under subdivision (C)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily

participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency; and

F. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (A) through (E) above.

**13. Employment Eligibility Verification.** As required by Ind. Code § 22-5-1.7, Counsel swears or affirms under the penalties of perjury that Counsel does not knowingly employ an unauthorized alien. Counsel further agrees that:

A. Counsel shall enroll in and verify the work eligibility status of all his/her/its newly hired employees through the E-Verify program as defined in Ind. Code § 22-5-1.7-3. Counsel is not required to participate should the E-Verify program cease to exist. Additionally, Counsel is not required to participate if Counsel is self-employed and does not employ any employees.

B. Counsel shall not knowingly employ or contract with an unauthorized alien. Counsel shall not retain an employee or contract with a person that Counsel subsequently learns is an unauthorized alien.

C. Counsel shall require his/her/its subcontractors, who perform work under this Agreement, to certify to Counsel that the subcontractor does not knowingly employ or contract with an unauthorized alien and that the subcontractor has enrolled and is participating in the E-Verify program. Counsel agrees to maintain this certification throughout the duration of the term of a contract with a subcontractor.

The State may terminate for default if Counsel fails to cure a breach of this provision no later than thirty (30) days after being notified by the State

**14. Funding Cancellation.** When the director of the State Budget Agency makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Agreement, this Agreement shall be canceled. A determination by the Director of the State Budget Agency that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

**15. Governing Law.** This Agreement shall be governed, construed, and enforced in accordance with the laws of the State of Indiana, without regard to its conflict of laws rules. Suit, if any, must be brought in the State of Indiana.

**16. Indemnification.** Counsel agrees to indemnify, defend, and hold harmless the State, its agents, officials, and employees from all third-party claims and suits, including court costs, attorney's fees, and other expenses caused by any act or omission of Counsel and/or its subcontractors in the performance of this Agreement. The State shall not provide indemnification to Counsel.

**17. Independent Contractor.** Counsel and the State are acting in their individual capacities and not as employees, partners, joint ventures or associates of one another. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purposes whatsoever. Neither party will assume any liability for any injury to any persons, or damage to any property, arising out of the acts or omissions of the agents, employees of the other party.

**18. Insurance.** Counsel shall secure and keep in force during the term of this Agreement Lawyers Professional Liability Insurance in such amounts and with such coverage acceptable to the State. Counsel shall be responsible for providing all necessary unemployment and worker's compensation insurance for its employees or partners. Failure to maintain insurance as required

in this Agreement may be deemed a material breach of contract entitling the State to immediately terminate this Agreement.

**19. Nondiscrimination.** Pursuant to the Indiana Civil Rights Law, specifically including Ind. Code § 22-9-1-10, and in keeping with the purposes of the federal Civil Rights Act of 1964, the Age Discrimination in Employment Act, and the Americans with Disabilities Act, the Counsel covenants that it shall not discriminate against any employee or applicant for employment relating to this Agreement with respect to the hire, tenure, terms, conditions or privileges of employment or any matter directly or indirectly related to employment, because of the employee's or applicant's race, color, national origin, religion, sex, age, disability, ancestry, status as a veteran, or any other characteristic protected by federal, state, or local law ("Protected Characteristics"). Counsel certifies compliance with applicable federal laws, regulations, and executive orders prohibiting discrimination based on the Protected Characteristics in the provision of services. Breach of this paragraph may be regarded as a material breach of this Agreement, but nothing in this paragraph shall be construed to imply or establish an employment relationship between the State and any applicant or employee of the Counsel or any subcontractor.

**20. Notice to Parties.** Whenever any notice, statement or other communication is required under this Agreement, it shall be sent by first class mail or via an established courier/delivery service to the following addresses, unless otherwise specifically advised.

**A. Notices to the State shall be sent to:**

Office of the Indiana Attorney General  
Attn: Chief Deputy  
302 W. Washington Street, 5th Floor  
Indianapolis, IN 46204  
Aaron.negangard@atg.in.gov

**B. Notices to Counsel shall be sent to:**

Ammeen Valenzuela Associates LLC  
Attn: James J. Ammeen, Jr.  
Barrister Building, Suite 750  
155 East Market Street  
Indianapolis, Indiana 46204

As required by Ind. Code § 4-13-2-14.8, payments to Counsel shall be made via electronic funds transfer in accordance with instructions filed by Counsel with the Indiana Auditor of State.

**21. Penalties/Interest/Attorney's Fees.** The State will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest or attorney's fees, except as permitted by Indiana law, in part, Ind. Code § 5-17-5, Ind. Code § 34-54-8, IC §34-13-1 and Ind. Code § 34-52-2-3.

**22. Public Record.** Counsel acknowledges that the State will not treat this Agreement as containing confidential information, and will post this Agreement on the transparency portal as required by Executive Order 05-07 and IC § 5-14-3.5-2. Use by the public of the information contained in this Agreement shall not be considered an act of the State.

**23. Severability.** The invalidity of any section, subsection, clause or provision of this Agreement shall not affect the validity of the remaining sections, subsections, clauses or provisions.

**24. Taxes.** The State is exempt from most state and local taxes and many federal taxes. The State will not be responsible for any taxes levied on Counsel as a result of this Agreement.

**25. Termination.** This Agreement may be terminated, in whole or in part, by the Attorney General whenever, for any reason, the Attorney General determines that such termination is in the State's best interest. Termination of services shall be affected by delivery to Counsel of a Termination Notice at least fifteen (15) business days prior to the termination effective date, specifying the extent to which performance of services under such termination becomes effective. Neither the State nor the Attorney General will not be liable for legal services performed after effective date of termination. Counsel may terminate this Agreement as provided by Rule 1.16, Indiana Rules of Professional Conduct.

**26. Travel.** No travel expenses will be reimbursed pursuant to this Agreement unless specifically agreed to by the Attorney General in writing and in advance of the travel.

**27. Waiver of Rights.** No right conferred on either party under this Agreement shall be deemed waived and no breach of this Agreement excused, unless such waiver is in writing and signed by the party claimed to have waived such right.

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**Binding Authority; Non-Collusion and Acceptance**

The undersigned attests, subject to the penalties for perjury, that the undersigned is Counsel, or that the undersigned is the properly authorized partner or member of Counsel. Further, to the undersigned's knowledge, neither the undersigned nor any other partner, member, employee, representative, agent or officer of Counsel, directly or indirectly, has entered into or been offered any sum of money or other consideration for the execution of this Contract other than that which appears upon the face hereof. **Furthermore, if the undersigned has knowledge that a state officer, employee, or special state appointee, as those terms are defined in IC § 4-2-6-1, has a financial interest in the Agreement, Counsel attests to compliance with the disclosure requirements in IC § 4-2-6-10.5.**

Agreement to Use Electronic Signatures

I agree, and it is my intent, to sign this Agreement by accessing State of Indiana Supplier Portal using the secure password assigned to me and by electronically submitting this Agreement to the State of Indiana. I understand that my signing and submitting this Agreement in this fashion is the legal equivalent of having placed my handwritten signature on the submitted Agreement and this affirmation. I understand and agree that by electronically signing and submitting this Agreement in this fashion I am affirming to the truth of the information contained therein. I understand that this Agreement will not become binding on the State until it has been approved by the Department of Administration, the State Budget Agency, and the Office of the Attorney General, which approvals will be posted on the Active Contracts Databases: <https://secure.in.gov/apps/idoa/contractsearch/>.

**In Witness Whereof**, Counsel and the State by their duly authorized representatives have executed this Agreement as of the dates set forth below.

AMMEN VALENZUELA ASSOCIATES LLP

Office of the Indiana Attorney General

By: *James Ammen*  
5683671B452A490...

By: *Lori D Torres-00075*  
FBCE6524D5AB42E...

Title: Partner

Title: Chief Deputy Attorney General

Date: 10/11/2023 | 14:08 EDT

Date: 10/11/2023 | 14:37 EDT

Electronically Approved by: Department of Administration  By: _____ (for) Rebecca Holw erda, Commissioner	
Electronically Approved by: State Budget Agency  By: _____ (for) Zachary Q. Jackson, Director	Electronically Approved as to Form and Legality by: Office of the Attorney General  By: _____ (for) Theodore E Rokita, Attorney General



## **EXHIBIT A**

Consideration for Legal Services will be paid at the following rates:

James J. Ammeen, Jr.: \$300 an hour

Attorneys other than Mr. Ammeen: \$255 an hour

Paralegals: \$115 an hour