

Instructions for nominees: The Senate Committee on Commerce, Science, and Transportation asks you to provide typed answers to each of the following questions. It is requested that the nominee type the question in full before each response. Do not leave any questions blank. Type "None" or "Not Applicable" if a question does not apply to the nominee. Return printed answers to Committee. Begin each section (i.e., "A", "B", etc.) on a new sheet of paper.

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

1. Name (Include any former names or nicknames used):

David Peter Pekoske

2. Position to which nominated:

Assistant Secretary of Homeland Security, Transportation Security Administration

3. Date of Nomination:

June 6, 2017

4. Address (List current place of residence and office addresses):

[REDACTED]

5. Date and Place of Birth:

May 5, 1955
Meriden, CT

6. Provide the name, position, and place of employment for your spouse (if married) and the names and ages of your children (including stepchildren and children by a previous marriage).

Spouse: Michele R. Pekoske, maiden name Roy, not employed

Children: Matthew D. Pekoske, 31
Kristen M. Pekoske, 29
Corinne N. Pekoske, 25
Jillian E. Pekoske, 23

7. List all college and graduate degrees. Provide year and school attended.

U. S. Coast Guard Academy, BS, 1977
Columbia University, MPA, 1989
Massachusetts Institute of Technology, MBA, 1997

8. List all post-undergraduate employment, and highlight all management-level jobs held and any non-managerial jobs that relate to the position for which you are nominated.

U. S. Coast Guard Active Duty (1977-2010)
Captain of the Port, Long Island Sound
Executive Assistant to the Commandant
Commander, First Coast Guard District
Assistant Commandant for Operations
Commander, Coast Guard Pacific Area
Vice Commandant

A-T Solutions, Inc.
Group President, National Security Solutions

PAE, Inc.
Vice President, National Programs

American University
Adjunct Professorial Lecturer, School of Public Affairs

Naval Postgraduate School
Instructor, Leading Innovation Program

Frontier Security Strategies

Expert (no work or income has been derived from this entity)

9. Attach a copy of your resume.

Please see the attached resume.

10. List any advisory, consultative, honorary, or other part-time service or positions with Federal, State, or local governments, other than those listed above, within the last ten years.

None with federal, state or local governments.

11. List all positions held as an officer, director, trustee, partner, proprietor, agent, representative, or consultant of any corporation, company, firm, partnership, or other business, enterprise, educational, or other institution within the last ten years.

I have held positions with the following organizations:

- InfraGard National Members Alliance, Chairman of the Board and Board Member
- Jewish Institute for the National Security of America, Board of Advisors
- Heroes Linked: Military Veterans Appreciation Trust Foundation, Board of Advisors
- National Academies of Sciences, Engineering and Medicine, Naval Studies Board, Member
- National Academies of Sciences, Engineering and Medicine, Member-Committee on Polar Icebreaker Cost Assessment
- U. S. Global Leadership Coalition, Member, National Security Advisory Council
- Coast Guard Academy Board of Trustees Member
- Association for Rescue at Sea, Board Member
- Country Place Citizens Association, Chair, Covenants Committee
- Pacific Architects and Engineers (PAE), Vice President
- A-T Solutions, Group President
- Frontier Security Strategies, Expert

12. Please list each membership you have had during the past ten years or currently hold with any civic, social, charitable, educational, political, professional, fraternal, benevolent or religious organization, private club, or other membership organization. Include dates of membership and any positions you have held with any organization. Please note whether any such club or organization restricts membership on the basis of sex, race, color, religion, national origin, age, or handicap.

Coast Guard Academy Alumni Association, 1977-Present, Member
MIT Sloan Alumni Association, 1997-Present, Member

Neither organization restricts membership on the bases listed in the question.

13. Have you ever been a candidate for and/or held a public office (elected, non-elected, or appointed)? If so, indicate whether any campaign has any outstanding debt, the amount, and whether you are personally liable for that debt.

No.

14. Itemize all political contributions to any individual, campaign organization, political party, political action committee, or similar entity of \$500 or more for the past ten years. Also list all offices you have held with, and services rendered to, a state or national political party or election committee during the same period.

None.

15. List all scholarships, fellowships, honorary degrees, honorary society memberships, military medals, and any other special recognition for outstanding service or achievements.

Homeland Security Distinguished Service Medal
Coast Guard Distinguished Service Medal (2 awards)
Legion of Merit (2 awards)
Meritorious Service Medal (5 awards)
Coast Guard Commendation Medal (2 awards)
Coast Guard Achievement Medal (4 awards)
Coast Guard Commandant's Letter of Commendation (1 award)

16. Please list each book, article, column, or publication you have authored, individually or with others. Also list any speeches that you have given on topics relevant to the position for which you have been nominated. Do not attach copies of these publications unless otherwise instructed.

I have authored three articles:

- "Maritime Security for our Nation's Democratic Process," Joint Center for Operational Analysis and Lessons Learned, Quarterly Bulletin, Volume VII, Issue 1, December 2004;
- Marine Safety Program Editorial: Pacific Maritime Magazine, October, 2007; and
- "Modernization and the Coast Guard Reserve," Rudder Post Newsletter, November, 2008.

Since my active duty CG service, I have spoken at a Maritime Security Conference in Miami and at a World Customs Organization IT Conference in Brisbane, Australia. Both speeches were on cross-border risk management.

17. Please identify each instance in which you have testified orally or in writing before Congress in a governmental or non-governmental capacity and specify the date and subject matter of each testimony.

House Committee on Homeland Security, Subcommittee on Border, Maritime and Global Counterterrorism: Hearing on Border Security, February 13, 2007

Senate Committee on Commerce, Science and Transportation Hearing on the Implementation of the SAFE Port Act, October 4, 2007

18. Given the current mission, major programs, and major operational objectives of the department/agency to which you have been nominated, what in your background or employment experience do you believe affirmatively qualifies you for appointment to the position for which you have been nominated, and why do you wish to serve in that position?

These aspects of my background and experience qualify me for appointment as TSA Administrator:

- Performance in top leadership positions of a large operational agency in the Department of Homeland Security;
- Experience in operational risk management and risk mitigation;
- Crisis leadership;
- Experience working with other federal, state and local law enforcement and public safety agencies;
- Experience in working with industry and interest groups;
- Knowledge of improvised explosive devices; and
- Business experience in government services contracting.

I am honored to be nominated by the President for the position of Assistant Secretary of Homeland Security, Transportation Security Administration. I wish to serve in this position because I bring seasoned executive level leadership that I will put to use to further improve TSA operations and position the agency for the future. This is a great opportunity to serve our country, lead the outstanding men and women serving in TSA and help protect the American people.

19. What do you believe are your responsibilities, if confirmed, to ensure that the department/agency has proper management and accounting controls, and what experience do you have in managing a large organization?

If confirmed, I will be responsible for ensuring required management and accounting controls are being used at TSA. My most relevant experience in managing a large organization was my service as Vice Commandant. In that position I was the Coast Guard's Vice service chief, Chief Operating Officer and Component Acquisition Executive.

20. What do you believe to be the top three challenges facing the department/agency, and why?

The top three challenges, from my perspective as a nominee, are workforce engagement, innovation, and surface transportation security.

Workforce Engagement. TSA is comprised of approximately 60,000 dedicated men and women who help ensure the security of our aviation and surface transportation systems. The workforce must be responsive to the changing threat environment in providing effective and efficient security services. They represent the face of government to the traveling

public and enjoy a public trust that their work makes air travel secure. I will place emphasis on training and leadership development of the TSA workforce with the goal of continued performance improvement and higher levels of employee satisfaction.

Innovation. TSA has an innovation task force that formed a beneficial public-private partnership with industry, airports and airlines to foster innovation. This task force is working to identify and introduce technology solutions to improve the effectiveness and efficiency of checkpoint security. This outstanding effort needs to continue to receive strong support from top leadership. In addition to technological solutions, this partnership can foster innovation on process improvements using existing and new technology.

Surface Transportation Security. TSA's role in surface transportation security is focused on security program oversight, system assessments, voluntary operator compliance with industry standards, collaborative law enforcement and security operations, and regulations. The risk to surface transportation needs to be continually evaluated as threats evolve. Surface transportation systems are vulnerable and a security incident can result in significant negative consequences. I will ensure TSA continues to place emphasis on surface transportation security.

B. POTENTIAL CONFLICTS OF INTEREST

1. Describe all financial arrangements, deferred compensation agreements, and other continuing dealings with business associates, clients, or customers. Please include information related to retirement accounts.

Pursuant to a separation agreement with PAE, I receive fixed biweekly payments that will continue through November, 2017. As part of the agreement, I agreed to cooperate with PAE in a specific litigation matter upon request and for which PAE will reimburse me for reasonable expenses incurred in connection with such assistance with advance approval from PAE.

I continue to participate in PAE's 401 (k) defined contribution plan. The plan sponsor (PAE) no longer makes contributions. The sole underlying asset in this defined contribution plan is detailed in the Assets and Income section of my nominee Financial Disclosure Report (OGE Form 278e).

As a Coast Guard retiree, I also receive monthly retirement payments from the federal government.

2. Do you have any commitments or agreements, formal or informal, to maintain employment, affiliation, or practice with any business, association or other organization during your appointment? If so, please explain.

None except as described in 1 above.

3. Indicate any investments, obligations, liabilities, or other relationships which could involve potential conflicts of interest in the position to which you have been nominated.

None.

4. Describe any business relationship, dealing, or financial transaction which you have had during the last ten years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute

or result in a possible conflict of interest in the position to which you have been nominated.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Homeland Security's Designated Agency Ethics Official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department's Designated Agency Ethics Official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

5. Describe any activity during the past ten years in which you have been engaged for the purpose of directly or indirectly influencing the passage, defeat, or modification of any legislation or affecting the administration and execution of law or public policy.

None.

6. Explain how you will resolve any potential conflict of interest, including any that may be disclosed by your responses to the above items.

I would obtain the advice of the agency or department ethics official and follow that advice.

C. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics, professional misconduct, or retaliation by, or been the subject of a complaint to, any court, administrative agency, the Office of Special Counsel, professional association, disciplinary committee, or other professional group? If yes:
 - a. Provide the name of agency, association, committee, or group;
 - b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;
 - c. Describe the citation, disciplinary action, complaint, or personnel action;
 - d. Provide the results of the citation, disciplinary action, complaint, or personnel action.

No.

2. Have you ever been investigated, arrested, charged, or held by any Federal, State, or other law enforcement authority of any Federal, State, county, or municipal entity, other than for a minor traffic offense? If so, please explain.

No.

3. Have you or any business or nonprofit of which you are or were an officer ever been involved as a party in an administrative agency proceeding, criminal proceeding, or civil litigation? If so, please explain.

No.

4. Have you ever been convicted (including pleas of guilty or *nolo contendere*) of any criminal violation other than a minor traffic offense? If so, please explain.

No.

5. Have you ever been accused, formally or informally, of sexual harassment or discrimination on the basis of sex, race, religion, or any other basis? If so, please explain.

There was a complaint of discrimination under the Age Discrimination Employment Act of 1967 initiated by an employee in 2005. A mediation process was implemented and all issues between the parties have been resolved. The agreement, signed on September 20, 2005, contains a confidentiality clause which prohibits divulging the details of the case.

6. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be disclosed in connection with your nomination.

None.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees?

Yes.

2. Will you ensure that your department/agency does whatever it can to protect congressional witnesses and whistle blowers from reprisal for their testimony and disclosures?

Yes.

3. Will you cooperate in providing the Committee with requested witnesses, including technical experts and career employees, with firsthand knowledge of matters of interest to the Committee?

Yes.

4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so?

Yes.

(Nominee is to include this signed affidavit along with answers to the above questions.)

F. Affidavit

DAVID P. PECOSKE being duly sworn, hereby states that he/she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his/her knowledge, current, accurate, and complete.

David P. Pecoske
Signature of Nominee

Subscribed and sworn before me this 14 day of June, 20 17

Robert J. Millett
Notary Public

