Instructions for the 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): Michael (Mike) McAllister

2. Position to which nominated: Rear Admiral Upper Half (O8)

3. Date of Nomination:

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

   Residence:
   Office:

5. Date and Place of Birth: 12/01/1964, Somerville, MA

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: Brigitte McAllister, substitute teacher with Colorado Springs/El Paso County District 12 Public Schools, Colorado Springs CO
   Son: Kyle McAllister (age 19)
   Son:

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

   Bachelor of Science Civil Engineering, 1986, US Coast Guard Academy
   Master of Science Civil Engineering, 1991, University of Illinois

Master of Business Administration, 2004, Massachusetts Institute of Technology

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.

   A chronology of my work history is attached.

9. Attach a copy of your resume.

   My official Coast Guard biography is attached.

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 five years.

    Member, South Carolina Joint Terrorism Task Force Executive Committee, 2007-2010
    Member, Charleston Harbor Interagency Operations Center Steering Committee, 2007-2010
    Chair, Sector Charleston Area Maritime Security Committee, 2007-2010
    Member, Charleston Harbor Safety Committee, 2007-2010
    Chair, Charleston Area Committee (pollution prevention/response), 2007-2010
    South Carolina Governor's Military Task Force, 2007-2010

    All positions described above were related to my official Coast Guard duties.

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 five years.

    None

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.

Military Officers Association of America – Nov 2011 to Nov 2013
Pentagon Federal Credit Union – Apr 2004 to present
United Services Automobile Association – May 1985 to present
BoatUS – July 2010 to Aug 2014
Freedom Boat Club Charleston SC – Apr 2008 to Apr 2012
AARP – November 2014 to present

Except as noted, none of these organizations restricts membership on the basis of sex, race, color, religion, national origin, age, or handicap.

The exception is AARP, which has a minimum age of 50 to join. This membership was given to me as a gift from my mother, and I am not actively or directly involved in AARP activities.

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.

Military awards and recognition:
Legion of Merit (4)

Meritorious Service Medal (5)
Coast Guard Commendation Medal (3)
DOT 9/11 Medal
Commandant's Letter of Commendation
Numerous team and unit awards
Permanent Cutterman insignia
Advanced Boat Forces insignia
Command Afloat insignia
Command Ashore insignia

Registered Professional Engineer (Civil Engineering, Washington State)

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.

Speech: Coast Guard Global Partnerships, US Navy League Sea-Air-Space Symposium. 2014
Speech: Coast Guard Future Outlook, Maritime Policy Center of Excellence Symposium, 2013
Speech: Port Resiliency, AFCEA Maritime Risk Symposium 2013
Speech: Modernization of the Coast Guard's Mission Support Enterprise, CG Innovation Exposition hosted by National Defense Industrial Association, 2010
Speech: Coast Guard Activities in SC and GA, the Propeller Club of the US, 2008
Speech: Project Seahawk (Interagency maritime operations center), National Defense Transportation Association Conference, 2008
Speech: Project Seahawk, SPAWAR Homeland Security Innovation Conference, 2008
Speech: Project Seahawk and Coast Guard Sectors, Institute for Defense and Government Advancement Homeland Security Symposium, 2008
Speech: Interagency Operations, DOJ Homeland Security Symposium, 2007
Published Master's Thesis, MIT: *Change Leadership in the U.S. Coast Guard*, 2004
Speech: Coast Guard Security Activities post-9/11, International Association of Airport and Seaport Police Conference, 2003

Speech: Coast Guard Response on 9/11, Navy League of the United States Annual Convention, 2002
Television appearance: Coast Guard Port Security, Stevens Institute of Technology *Technogenesis*, 2002

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.

None

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?

My Coast Guard experience has been marked by a great diversity in assignments and leadership opportunities that have prepared me to take on greater levels of responsibility. I have a strong operational foundation with six years served at sea onboard Coast Guard cutters engaged in law enforcement, migrant interdiction, search and rescue, and fisheries, and six years in "shore" operations, supervising Coast Guard stations, small cutters, aviation operations, marine investigations and inspections, pollution response and other ports and waterways missions. More than half my operational time has been in command positions, fully accountable for the conduct and outcome of assigned missions. I also have support and resource management experience with assignments in engineering, acquisition, budgeting, human resources, strategy development and executive support. With this diverse experience, I am able to strike the appropriate balance amongst the Coast Guard's multiple mission demands, between operations and enabling support activities, and between current operations and investment in future capabilities. I wish to continue to serve in the Coast Guard flag corps so that I can contribute most directly to enhancing mission excellence, today and into the future.

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?

As a Coast Guard senior leader, I have a duty as a steward of taxpayer dollars to manage resources in a way that provides needed and valued public capability at minimal cost. This requires strict controls to ensure valid mission requirements, prevent waste, fraud and abuse and create reliable financial reporting. On a broader scale, internal controls also serve as the cornerstone for knowledge management, allowing the organization to make informed, risk-based resource decisions, to implement and measure progress towards goals and create predictable outcomes. As the Coast Guard achieves CFO Act compliance, we have found that proper management and accounting controls allows us to direct our resources to greatest operational effect. With experience in operations, budgeting, acquisition and strategy, I have been able to effectively manage large organizations in a way that demonstrates appropriate stewardship of public resources.

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

In my view, the Coast Guard's top three challenges are:

- Focusing on the well-being and proficiency of Coast Guard people to support mission excellence
- Balancing current operational capacity with needed investment in future capability while continually demonstrating fiscal constraint
- Creating unity of effort amongst diverse mission partners and stakeholders

While the Coast Guard is a "world class" organization, based largely on its outstanding active duty, reserve, civilian and auxiliary members, public expectations for mission performance continue to increase, as does the complexity of our work environment. A variety of factors challenge our ability to keep "sharp" including mission expansion, administrative burdens, outdated personnel policies, limited member and family support programs and complacency. Our capacity to efficiently and effectively train, develop and support our people in their primary operational or support duties needs to improve to maintain the expected level of proficiency and remain the world's best coast guard. We exist to perform missions for the maritime public; personnel well-being and proficiency to support mission excellence should be our first areas of focus.

Facing constrained budgets, balancing today's Coast Guard performance with the need for investment in the future has never been more challenging. We must make today's operations as efficient as possible using risk-based decision making, eliminating redundancy, maximizing the use of partnerships (public, private, international, etc.), and improving business processes. At the same time we must ensure that our acquisition programs for future capability are similarly cost effective, fully justified and adaptable to changing mission needs. For the foreseeable future, we will need to create our own budgetary "trade space" so that we can continue to make investments to move the Coast Guard forward.

More than ever, our nation's uncertain security and economic future necessitates unity of effort amongst diverse organizations, and particularly between government agencies, in order to continue to meet mission objectives. Across our diverse mission sets, Coast Guard leaders are challenged to bridge organizational divides in order to align efforts to best common effect. This is made more difficult with increased competition for public resources. The nation is best served when leaders both inside and outside government focus on maximizing the public return on investment by sharing information, expertise and resources. The Coast Guard remains well-suited as an organization to bring diverse interests together to achieve the best outcomes in the face of future uncertainty but must continue to focus on creating valued partnerships.

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.

   Please see my nominee Public Financial Disclosure Report.

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.

   No.

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.

   None.

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.

   As a program reviewer on the Coast Guard CFO's staff (2004-2005), I routinely provided information to the Administration and Congress used to support the development and implementation of legislation and policy. As a Coast Guard Activities Response Division Chief (2000-2003) and Sector Commander (2007-2010), I routinely provided field input to Coast Guard Headquarters staffs on proposed legislation and policy and

personally briefed members of the Administration and Congress on Coast Guard field activities. All such engagements were within the scope of my official duties. I have not engaged in influencing legislation or public policy outside my official duties.

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 will obtain advice from a Coast Guard ethics official and follow that advice.

C. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please explain.

   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 of which you are or were an officer ever been involved as a party in an administrative agency 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.

   No.

6. If you ever served as a general court-martial convening authority involving an offense involving sexual misconduct or assault, have you ever disapproved the finding of a court-martial related to the offense(s) or reduced the sentence adjudged by a court-martial, other than in connection with a pre-trial agreement?

No.

7. 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

MICHAEL MCALLISTER 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.

Signature of Nominee

Subscribed and sworn before me this 22d day of April, 2015.

Notary Public

MELVIN E. WOODHOUSE
NOTARY PUBLIC
STATE OF COLORADO
NOTARY ID 20034014749
MY COMMISSION EXPIRES MAY 5, 2015

United States Northern Command Biography

REAR ADMIRAL MICHAEL F. McALLISTER
UNITED STATES COAST GUARD

Rear Admiral Michael McAllister is the Deputy Director of Operations for Headquarters United States Northern Command. The Directorate of Operations is the principal advisor to the Commander USNORTHCOM on all operational matters, providing strategic guidance to plan and execute NORTHCOM missions within the area of responsibility; including land, maritime, and Homeland Defense air operations as well as Defense Support of Civil Authorities.

Admiral McAllister was previously assigned as the Director, Enterprise Strategic Management and Doctrine, Coast Guard Headquarters, Washington, DC. In this position, he oversaw Coast Guard-wide strategy development and the delivery of essential business management services.

Admiral McAllister has served in a variety of operational assignments, both afloat and ashore. He served as a Deck Watch Officer aboard the USCGC STEADFAST, St. Petersburg, Florida, and as Commanding Officer of USCGC POINT STEELE, Fort Myers Beach, Florida and USCGC KEY LARGO, Savannah, Georgia. From 2000 to 2003, Admiral McAllister served as Chief, Response Division at Coast Guard Activities New York where he led multiagency search and rescue, law enforcement, pollution response, aids to navigation and homeland security efforts in a three-state area and led maritime response and security operations following the terrorist attacks of September 11, 2001 in New York City. His most recent operational assignment was as Commander of Coast Guard Sector Charleston, South Carolina where he oversaw all Coast Guard missions in the states of South Carolina and Georgia and prototyped the Department of Homeland Security's successful Interagency Operations Center Program.

Admiral McAllister's staff assignments include duty as a Construction Project Manager at Facilities Design and Construction Center Pacific in Seattle, Washington and as Executive Officer of Civil Engineering Unit Miami, Florida. He also served as a program reviewer in the Office of Programs and Budget at Coast Guard Headquarters in Washington, DC and the Officer Assignments Branch Chief at the Coast Guard Personnel Command, Arlington, Virginia. He was also the Executive Assistant to the Vice Commandant of the Coast Guard, and Deputy Chief of Staff of the Coast Guard and Executive Director for the Deputy Commandant for Mission Support.

Admiral McAllister attended the United States Coast Guard Academy, graduating in 1986 with a Bachelor of Science Degree in Civil Engineering. In 1991, he was awarded a Master of Science Degree in Civil Engineering from the University of Illinois at Champaign-Urbana. In 2004, he received a Masters of Business Administration from the Massachusetts Institute of Technology as

Updated: 02/17/2015

REAR ADMIRAL (LOWER HALF) MICHAEL F. MCALLISTER

Current Assignment

Jul 2014 – Present	Deputy Director of Operations, U.S. Northern Command

Assignment History

May 2013 – Jul 2014	Director, Enterprise Strategic Management, CG Headquarters
May 2012 – May 2013	Executive Assistant to the Vice Commandant
Jul 2010 – May 2012	Executive Director, Deputy Commandant for Mission Support
Jul 2007 – Jun 2010	Commander, Sector Charleston
Jun 2005 – Jul 2007	CG Personnel Command, Chief Officer Assignments Branch
Jun 2004 – Jun 2005	CG-821, Program Reviewer, Deepwater & Operational Capabilities
Jun 2003 – May 2004	Duty Under Instruction, MIT Sloan Fellows Program
Jul 2000 – May 2003	CG Activities New York, Chief Operations (Response) Division
Jun 1998 – Jun 2000	Civil Engineering Unit Miami, Executive Officer
Aug 1997 – Jun 1998	Civil Engineering Unit Miami, Chief Field & Construction Branch
Jun 1995 – Jul 1997	CGC KEY LARGO, Commanding Officer
Jan 1992 – May 1995	Facilities Design and Construction Center Pacific, Project Manager
Aug 1990 – Dec 1991	Duty Under Instruction, University of Illinois at Champaign-Urbana
Jul 1988 – Jul 1990	CGC POINT STEELE, Commanding Officer
Jun 1986 – Jun 1988	CGC STEADFAST, Deck Watch Officer

Educational Summary

2003 - 2004	Massachusetts Institute of Technology, Masters of Business Administration,
1990 - 1992	University of Illinois, Masters of Science in Civil Engineering
1982 - 1986	US Coast Guard Academy, Bachelors of Science in Civil Engineering

Military Personal Awards and Significant National Recognition or Achievement

Personal military awards: LOM (4), MSM (5), COM (3), DOT 9/11 Medal, LOC
2009, Stood up first DHS Interagency Ops Center under SAFE Port Act of 2006
2006, In-zone reorder selection, PY07 Captain Promotion Board
2002, CG Foundation Awards Dinner honoree (team), Secretary's Outstanding Unit Award
1999, Commandant's Quality "Silver" Award, Society of American Military Engineers Cowart (unit) Award
1996, Witherspoon Inspirational Leadership Award nominee

Significant Current Professional Credentials or Recent Activities

2011 Graduate, DoS National Security Executive Leadership Seminar
2010 Advanced Boat Forces Operations Insignia
2004 Published Master's Thesis: *Change Leadership in the U.S. Coast Guard*
1996 Permanent Cutterman
1995 Professional Civil Engineer License, State of Washington
Presenter at numerous national/regional symposia on maritime security
Extensive Type I & II (large scale) Incident Commander, Ops Section Chief experience