

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): Karl Leo Schultz

2. Position to which nominated: Vice Admiral (0-9)

3. Date of Nomination: 10 February 2016

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

Residence:

Office:

5. Date and Place of Birth: 14 June 1961; Hartford, Connecticut

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: Dawn Marie Schultz; stay-at-home mother

Children: Kelsey Elisabeth Schultz, 21

Lindsey Marie Schultz, 21

Annaliese Nicole Schultz, 18

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

1979-1983: United States Coast Guard Academy; Bachelor of Science in Civil Engineering

1991-1992: University of Connecticut; Master of Arts in Public Administration

2005-2006: Harvard University, Kennedy School of Gov't; Nat'l Security Fellow

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.

1983-present: Commissioned Officer, United States Coast Guard

Management Level Positions:

1985-1987: Executive Officer, United States Coast Guard Cutter PETREL
1989-1991: Commanding Officer, United States Coast Guard Cutter F ARALLON
1996-1999: Commanding Officer, United States Coast Guard Cutter ACACIA
2003-2005: Commanding Officer, United States Coast Guard Cutter VENTUROUS
2006-2008: Commander, Coast Guard Sector Miami, Florida: Captain of the Port;
Federal Maritime Security Coordinator; Search and Rescue Mission Coordinator; Federal
On-scene Coordinator; and Officer-in-Charge Marine Inspection
2008-2010: Chief, Const Guard Congressional and Governmental Affairs Division
2010-2012: Director, Governmental and Public Affairs (CG-092)
2012-2014: Commander, Eleventh Coast Guard District
2014-Pres: Director of Operations, U.S. SOUTHERN Command

Non-managerial Level Positions:

1987-1989: Command Center Duty Officer, Seventh Coast Guard District,
Miami, FL
1993-1996: Officer Personnel Management Division, Coast Guard Personnel
Command
1999-2000: Department of State, Coast Guard Liaison Officer to the Bureau of
International Narcotics and Law Enforcement Affairs (INL)
2000-2003: Congressional Liaison Officer, United States House of
Representatives

9. Attach a copy of your resume. My official Coast Guard Resume 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. None.
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.

Family membership to the West Broward County (Florida) YMCA - Fitness Center/Youth Sports/Recreational (2006-2010 and 2014-Present). Family membership to the Novato (California) YMCA (2012-2014). No restrictions on membership on the basis of sex, race, color, religion, national origin, age or handicap.

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. None

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

Pi Alpha Alpha, Nat'l Honor Society-Public Affairs & Administration (not-active)

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. None

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.

(a) 16 June 2015, as Director of Operations U.S.SOUTHERN Command before the Coast Guard and Maritime Transportation Subcommittee of the House Transportation and Infrastructure Committee. Subject of hearing was "Western Hemisphere Drug Interdiction Efforts."

(b) 26 November 2007, as Commander, Coast Guard Sector Miami, Florida on "Maritime Border Security" before the House of Representatives Committee on Homeland Security (CHS), Subcommittee on Border, Maritime and Global Counter-Terrorism. This was a Field Hearing held at the Miami City Hall in Coconut Grove, Florida.

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?

For the past 32+ years I have served as a commissioned Coast Guard officer in a broad range of challenging operational and staff assignments, including external liaison positions at the Department of State and on Capitol Hill. I am currently serving as the Director of Operations (J-3) in a DoD Joint Service billet at U.S. SOUTHERN Command in Miami, Florida. Along that career path, the Service has also afforded me the rich opportunities to obtain a Master's Degree in Public Administration, and to complete a

one year National Security Fellowship at the Kennedy School of Government at Harvard University. I believe the diversity of my professional experiences, and proven track record of performance within the Coast Guard, the interagency, and the joint service environment position me well for continued service as a Coast Guard senior leader. I have been nominated to serve as the Atlantic Area Commander and this position is keenly attractive to me because of the nature of the assigned duties as a senior operational commander, and the requisite leadership for the position. I am confident in my readiness to serve in this demanding position and to best represent the interests of the nation, my service, and the Coast Guard men women I will be entrusted to lead and serve alongside.

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 commissioned officer in our nation's Armed Services, and as a federal government employee, I hold myself and my division/unit and organization wholly accountable for being responsible stewards of the public trust, including all fiscal resources, assets and equipment, as well as supervisory responsibility for subordinates. In my previous assignment as Sector Commander in Miami, Florida, I oversaw Coast Guard operations in an area of responsibility with 5 deepwater ports (2 militarily and economically strategic), 165NM of densely populated coastline with the highest per capita number of registered boaters in the United States; the world's busiest cruise ports; transnational criminal threats from the Bahamas, Cuba and Haiti; and 288 Maritime Transportation Security Act (MTSA) regulated facilities. In this position I oversaw 15 subordinate units, and managed a multi-million dollar budget. As Eleventh Coast District Commander I oversaw multi-mission Coast Guard operations spanning from the California-Oregon border south to approximately Peru and managed a roughly \$43M budget. As Director of Operations at SOUTHCOM, I oversee DoD operations throughout Latin and South America, as well as the Caribbean Basin, an area encompassing roughly one-sixth of the Earth's geography. On a typical day, there are roughly 7,000 U.S. service members conducting operations in this region under the guidance of SOUTHCOM.

Lastly, as a former Congressional Liaison to the House of Representatives (3 years), former Chief of Coast Guard Congressional and Governmental Affairs (2+ years), and the Director of the service's Governmental and Public Affairs programs, I am intimately familiar with the critical importance of a federal agency such as the Coast Guard strictly adhering to the highest standards of proper management, fiduciary responsibility, accounting controls and transparent behavior.

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

Protecting the homeland in an environment where transregional terrorist organizations and violent extremists are increasingly more prevalent will remain a daunting challenge for our nation's security forces, including the United States Coast Guard – the lead federal agency for maritime safety and security. Under that umbrella falls the large task

of combatting transnational criminal organizations whose activities threaten the stability and legitimacy of partner nation governments in the Western Hemisphere, fuel extreme violence and seed corruption. While the illicit and violent activities that transnational criminals engage in typically occur far from our homeland, the effects and impacts of those activities manifest themselves at our borders and in our American cities and neighborhoods. Nearly 50,000 Americans died of drug related causes last year alone, and tens of thousands of unaccompanied children are sent by their families on the long and arduous journey to escape the violence and lack of opportunity found in their Central American home towns and cities in places like El Salvador, Guatemala and Honduras where the homicide rates are 20 times that found in America. These transnational criminals exploit highly sophisticated smuggling networks to facilitate the movement of their illicit cargoes and activities, from drug and migrant smuggling, to trafficking in persons, or the movement of special interest aliens from south to north. Along these same corridors or networks, bulk cash and weapons move in the reverse direction, completing the cycle of illicit activity. It does not require a lot of imagination to envision a bad actor, either wittingly or unwittingly, attempting to move an even more dangerous cargo posing a direct threat to the safety and security of American citizens, along these pathways. Protecting the homeland will remain a top priority mission and challenge for the Department of Homeland Security and the United States Coast Guard.

Secondly, I believe that the Coast Guard will continue to be confronted by the competing challenge of adequately resourcing the existing operational demand for our services while seeking stable and predictable budgets to continue key recapitalization efforts such as National Security, Offshore Patrol and Fast Response cutter programs. Additionally, the Coast Guard faces evolving and uncertain threats in the Cyber Space domain, as well as increasing levels of activity in an expanding Arctic region where the service has statutory responsibilities related to the safety, security and stewardship of those operating in the region and the environment itself. An environment of fiscal constraint is not likely to dissipate anytime soon as we remain a nation involved in costly combat operations against the Islamic State, we face increasing costs servicing the interest on our \$19 trillion federal debt, and we struggle as a nation to reach any kind of an agreement or shared definition regarding the appropriate size and nature of the services and programs our government should provide.

Thirdly, the Coast Guard will need to be mindful of managing its human capital, of remaining an employer of choice amidst a changing American workforce at a time when a new military retirement plan is being introduced and high tech competitive industries are seeking the same talent we need in our ranks. As a service, the Coast Guard will need to continue to demonstrate the value we place on our people, value that is measured in terms of trust, opportunity, professional growth and satisfaction. We need to draw the best talent possible from across America; our ranks - officer, enlisted and civilian, need to be representative of the public we serve, and we need to provide our people with the training, educational benefits, health care and family support programs that make them want to stay attached to our brand.

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 PFDR.

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

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.

My official Coast Guard duties have from time to time required me to make recommendations to Coast Guard officials regarding Coast Guard policy and Coast Guard related legislation.

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. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be disclosed in connection with your nomination. None.
7. If you ever served as a general court-martial convening authority involving an offense involving sexual misconduct or assault, have you ever disapproved the findings 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

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 or 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

KARL L. SCHULTZ 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 22 day of Feb, 2016.



Notary Public





U.S. Coast Guard

Rear Admiral Karl L. Schultz

J3 Operations Directorate
United States Southern Command



Rear Admiral Schultz assumed his duties as the Director of the J3 Operations Directorate in June, 2014. The J3 Operations Directorate is responsible for shaping the environment within the Area of Responsibility in support of the Combatant Commander by conducting theater engagement, Counter-Narco Terrorism (CNT) activities, humanitarian assistance, and disaster relief in order to promote democracy, stability, and collective approaches to regional security. When required, it responds unilaterally or multilaterally to crises that threaten regional stability or national interest, and prepares to meet future hemispheric challenges.



Admiral Schultz most recently served as the Commander of the Coast Guard Eleventh District from July 2012 – June 2014. Previously, he served at Coast Guard Headquarters in Washington DC, where he was the Director for Governmental and Public Affairs and was responsible for Coast Guard external engagement with the Congress, the media and intergovernmental entities. Prior to becoming a flag officer, he served as Chief of the Office of Congressional and Governmental Affairs from 2008-2010, where he was the service's lead representative to the United States Congress, overseeing all aspects of agency engagement and interaction with the legislative branch while also serving as the principal advisor to the Commandant and other senior Coast Guard leaders for all appropriations, authorization and Member of Congress specific issues.

His most recent field assignment was as Sector Commander in Miami from 2006-2008, where he oversaw multi-mission operations in Southeast Florida and served as the regional Federal Maritime Security Coordinator; Federal On-Scene Coordinator; Officer-in-Charge Marine Inspection; Search and Rescue Mission Coordinator; and Captain of the Port for Miami, Port Everglades, Palm Beach, Fort Pierce and the Miami River. Command tours of duty afloat include USCGC VENTUROUS, a 210-ft medium endurance cutter in St. Petersburg, Florida; USCGC ACACIA, a 180-ft sea-going buoy tender in Charlevoix, Michigan; and USCGC FARALLON, a 110-ft Island Class Patrol Boat in Miami Beach, Florida. Rounding out his sea duty are tours as Executive Officer of USCGC PETREL, a 110-ft Surface Effect Ship in Key West, Florida; and as Operations Officer of USCGC GENTIAN, a 180-ft sea-going buoy tender in Ft. Macon, North Carolina. Other shore assignments include Congressional Liaison Officer to the

REAR ADMIRAL Karl L. Schultz

Current Assignment

06/2014 – present

SOUTHCOM Director of Operations (J-3)

Assignment History

07/2012 – 06/2014

Commander, Eleventh District

01/2010 – 06/2012

Director, Governmental and Public Affairs (CG-092)

09/2009 – 12/2009

Acting Director, Governmental and Public Affairs (CG-092) and Chief, Congressional and Governmental Affairs (CG0921)

07/2008 – 08/2009

Chief, Congressional and Governmental Affairs (CG0921)

07/2006 – 06/2008

Commander, Coast Guard Sector Miami, FL

08/2005 – 06/2006

National Security Research Fellow, Harvard University – Kennedy School of Government

07/2003 – 07/2005

Commanding Officer, USCGC VENTUROUS (WMEC-625)

06/2000 – 06/2003

Congressional Liaison Officer, U.S. House of Representatives

07/1999 – 05/2000

Liaison, Department of State, Bureau for International Narcotics and Law Enforcement Affairs (INL)

07/1996 – 06/1999

Commanding Officer, USCGC ACACIA (WLB-406)

06/1994 – 06/1996

Assignment Officer, Military Personnel Command (OPM-2)

01/1993 – 05/1994

Evaluations Branch, Military Personnel Command (OPM-3)

08/1991 – 12/1992

Duty Under Instruction (DUINS) – University of Connecticut

06/1989 – 07/1991

Commanding Officer, USCGC FARALLON (WPB-1301)

06/1987 – 05/1989

Rescue Coordination Center Controller/Law Enforcement Duty Officer, Seventh Coast Guard District Command Center, Miami

06/1985 – 05/1987

Executive Officer, USCGC PETREL (WSES-4)

06/1983 – 05/1985

Operations Officer, USCGC GENTIAN (WLB-290)

Educational Summary

1979 – 1983

U.S. Coast Guard Academy, Bachelor of Science – Civil Eng.

1991 – 1992

University of Connecticut, School of Urban and Public Affairs; Master of Science – Public Administration

2005 – 2006

1-yr Research Fellowship in National Security Studies – Harvard University, John F. Kennedy School of Government

Military Personal Awards and Significant National Recognition or Achievement

2011

Legion of Merit

2008

Legion of Merit

2005

Meritorious Service Medal

2003

Meritorious Service Medal

2000

Coast Guard Commendation Medal

1999

Meritorious Service Medal

1996

Coast Guard Commendation Medal

1995

Coast Guard Achievement Medal

1994

Commandant's Letter of Commendation

1991

Coast Guard Commendation Medal

1989

Coast Guard Commendation Medal

1987

Coast Guard Achievement Medal

Significant Current Professional Credentials or Recent Activities: N/A