

recently been appointed to the DOD Reserve Forces Policy Board (RFPB) in my Coast Guard reserve capacity and my first meeting was on September 2nd, 2015.

9. 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: I am the sole member of "Peggy's Boy LLC" which is still registered as a NY State LLC but has not done any business since approximately 2008. I maintain the LLC as a legal entity so I do not have to form a new entity in case I decide to do business again in the future. I have no near-term plans to do any business.

10. 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:
 - A. I have been a member of the Babylon Yacht Club in West Islip, NY since approximately 2004 until the present.
 - B. I am a member of the Towing Vessel Inspection Bureau since approximately 2013 to the present.
 - C. I am a lifetime member of the Reserve Officers Association since approximately 1990.
 - D. I am a member of the Boat Owners Association of the United States from approximately 2009 to the present.
 - E. I am a member of USAA since approximately 1995 to the present.
 - F. I am a member of the Fort Schuyler Maritime Alumni Association since 2015 to the present.

None of these organizations restricts membership on the basis of sex, race, color, religion, national origin, age, or disability.

I have never been a candidate for and/or held a public office.

11. 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

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

Military Personal Awards

05-31-2014	CG Commendation Medal
08-03-2013	Joint Chiefs Of Staff ID Badge
07-13-2013	Defense Superior Svc Medal
06-14-2013	Defense Meritorious Svc Medal
03-12-2012	Joint Meritorious Unit Award
08-25-2011	Meritorious Service Medal
06-25-2010	Meritorious Service Medal
02-23-2010	Boat Forces Operations Insignia
08-26-2009	Meritorious Service Medal
05-25-2006	CG Presidential Unit Citation
01-03-2006	CG Unit Commendation Ribbon
01-30-2005	Global War Terror Service Medal
09-20-2003	Navy/MC Commendation Medal
03-16-2003	CG Meritorious Team Comm Ribbon
02-23-2002	CG Rifle Expert Medal
01-10-2002	CG Pistol Expert Medal
12-03-2001	CG Meritorious Team Commendation Ribbon
11-18-2001	Mobilization Device for AFRM
11-18-2001	Armed Forces Reserve Medal AFR
06-15-2001	CG Achievement Medal
12-14-2000	CG Special Ops Service Ribbon
04-02-2000	Armed Forces Reserve Medal AFR
04-02-2000	Armed Forces Res Medal w/Hourglass
09-12-1996	CG Unit Commendation Ribbon
07-31-1995	CG Meritorious Team Commendation Ribbon
03-23-1995	CG Cutterman Insignia
11-03-1994	DOT Outstanding Unit Award
12-11-1992	Humanitarian Service Medal
07-20-1992	CG Special Operations Service Ribbon
08-04-1990	CG Bicentennial Unit Commendation Ribbon
08-02-1990	National Defense Service Medal
04-02-1990	Armed Forces Reserve M w/Hourglass
04-02-1990	Armed Forces Reserve Medal
10-26-1985	CG Reserve Good Conduct Medal
03-16-1984	CG Coxswain Insignia
08-06-1981	CG Certificate of Appreciation
08-08-1980	CG Basic Training Honor Graduate

Significant National Recognition:

1994 Winner of the Abraham Markhoff Award from the Workers Compensation Bar Association.

13. 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:

Wrote and Published "RECREATIONAL BOATERS HAVE A ROLE IN THE WAR-ON-TERROR;" in BOATING WORLD MAGAZINE.

14. 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

15. 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?

The Coast Guard Reserve is a contingency Response capability for the Coast Guard. I enlisted in the Coast Guard reserve 35 years ago and performed as both an enlisted member, and later as an officer. I have experience in all mission sets that the Reserve Component has been tasked with and have budget/funding management and policy-development experience as well. I wish to serve as a Rear Admiral (Upper Half) in order to help manage the Reserve Component to become the best prepared and most efficient force possible. I believe in the missions and want to provide the U.S. taxpayer with the highest return-on-investment for their hard earned tax money. In short, "I want to "make a difference" and have a positive impact.

16. 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?

My responsibilities, if confirmed, are to insure proper analysis is performed in order to yield good decision-making for the organization. The Coast Guard and its Reserve Component must be smartly managed in a transparent way, with the highest level of management and accounting controls, and decision-making that is ethically based. As a career Coast Guard Reservist who has had a civilian career in addition to a military career, I have managed large private companies in the marine industry, which meant having budget/financial, operational, and human resource responsibilities. I also am one of the few CG reservists who have prior CG headquarters experience, having filled an active duty position as the Chief of the Office of Reserve Affairs. This position had responsibility for CG Reserve policy and managed the \$134M CG Reserve Training appropriation.

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

TOP THREE CHALLENGES:

- A. The primary challenge which will require leadership is improving the OPERATIONAL READINESS of the Reserve Component (RC). Over the past 10 years, Team CG has proudly improved CGR attendance & individual readiness (personnel weight, medical readiness, etc.). The next challenge is to build a RC with members who are on the bench, READY to go into the game, POSSESSING the certified Competencies & Skills required when the Active Duty Coast Guard needs our help. The reason why this is a challenge is because the average reservist is authorized 36 training-days per year, which makes it difficult (but not impossible) to achieve the needed level of competence. The progressive solution lies in the CAMPAIGN PLAN (CP) designed to improve CG Reserve operational readiness. This Campaign Plan was created by the nominee and is in the process of being implemented.
- B. I believe that the second challenge facing the Coast Guard reserve is to make sure that Coast Guard leadership, and every reservist, is held accountable for being physically and individually ready to deploy to a contingency. Personnel, and leadership, must be held accountable for providing the specific capabilities to the U.S. public that they have been assigned to provide. Accountability is the key. To achieve this, Coast Guard reserve leadership must provide opportunities for all reservists to earn those competencies and skills. Progress has been made in this area but additional improvement is my expectation.
- C. I believe that the third challenge facing the Coast Guard reserve is to focus the majority of our efforts on preparing for those contingencies that have the highest probabilities of systematic reoccurrence. We have recently completed an analysis of historical data regarding the types of contingencies and the response strategies and tactics that worked, and those that have failed or can be improved. We are now in the process of molding the CG reserve Force to bring the most needed skills necessary in order to effectively respond to the needs of the U.S. Public.

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 (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?

I have a current Academic Rank Appointment Contract with the State University of New York Maritime College which will expire on August 31, 2016. Because I am a Reserve Officer, I need to work in the civilian world to provide income for my family. The Maritime College job provides some of that income. It is worth noting that the College is fully supportive of my Coast Guard (CG) reserve affiliation and vigorously adheres to all reserve reemployment laws. In fact, approximately 25% of New York Maritime College Graduates enter the active duty military every graduating year. I will be ready and available for any CG reserve mobilizations and recalls to active duty and will have the flexibility to meet all of my CG reserve obligations when I am in the status of a drilling reservist.

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:

Ending in 2008, I had worked as a full time employee of a U.S. Flag commercial vessel owner. That experience has made me a much more knowledgeable and educated Coast Guard Reserve Officer. During that time, I was asked by my employer, from time to time, to provide my opinion on what would make different pieces of federal and State legislation and/or regulations effective and balanced in

regard to the goal of the legislation or regulation. On several occasions, I have provided those opinions to my employers. In a few instances, portions of my opinions may have been used as partial input for an overall Company response to the legislation/regulation. Such input by companies and stakeholders was always solicited in the Federal Register as part of the normal legislative/regulatory public input process. In addition, there were times when my employers submitted their overall input to the American Waterway Operators, an organization that represents the commercial Tugboat and barge industry. The last time I provided any opinions to my employer(s) related to legislation and/or regulations was in 2007. When I did provide those opinions, I always balanced my moral obligation as an advocate for safety, security, and environmental protection in the marine environment with the realities of commercial maritime vessel/facility operations. Since 2009, I have been a Professor at New York Maritime College.

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.

I received a conditional discharge on May 7, 1979 from the Suffolk County Traffic Department, Hauppauge, NY, for driving while impaired. I was 19 years of age (36 years ago) at the time and this was prior to my enlistment into the Coast Guard. I am currently 55 years of age and have not had any subsequent offenses.

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.

I was the recipient of an absentee Civil Judgment issued by a Tobyhanna PA local Court on behalf of the Community Association of Pocono Farms in the late 1980's. The Judgment was related to fees on a building lot (real property) I own in Mount Pocono, PA. Once I became aware of the judgment I paid the full amount immediately. The judgment was then withdrawn.

I was a defendant in a personal injury civil lawsuit related to an injury that occurred aboard my pleasure boat in the late 1990's. Unfortunately, a guest aboard my boat decided to put their arm in between the dock and the boat while I was docking, which resulted in a wrist injury. That civil suit (Mahoney v Pelkowski) was settled in the late 1990's.

I am a current defendant in a landlord/tenant type civil lawsuit (Alston & Nieves vs. Pelkowski & Switzer) related to my ownership of a rental property. That property was sold by me in 2009 but the lawsuit is ongoing. My attorney advises me that once the discovery (fact-finding) phase is completed the case is likely to be concluded in a settlement.

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 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

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

There is no additional information.

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

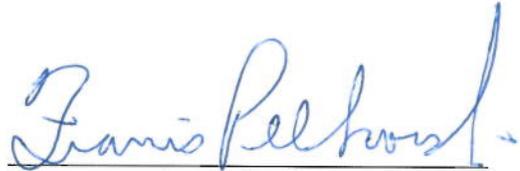
4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so?

Yes

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

F. AFFIDAVIT

Francis Pelkowski 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 12 day of Nov, 2015


Notary Public

Bruce J. Toner
Notary Public, State of New York
No. 01T06025721
Qualified in Queens County
Commission Expires June 1, 2019



Rear Admiral
Francis “Stash” Pelkowski
Atlantic Area Senior Reserve Officer
U.S. Coast Guard



Stash Pelkowski was promoted to Rear Admiral lower half and assumed his duties as Senior Reserve Officer, Coast Guard Atlantic Area in June 2014. He currently facilitates the training and mobilization readiness of over 4,400 reservists from as far west as Colorado to as far East as Afghanistan. Prior to his assignment to Atlantic Area, he served as the Senior Reserve Officer for the Deputy Commandant of Operations (DCO) and the Emergency Preparedness Liaison Officer (EPLO) Coordinator at U.S. Coast Guard Headquarters.



Rear Admiral Pelkowski enlisted in the Coast Guard and began his career as a coxswain operating the 44' motor life boat and the 41' utility boat, performing law enforcement and search & rescue missions. Upon receiving his commission, he was assigned to various USCG cutters for the first seven years of his officer career and served as a qualified Deck Watch Officer. Later he served tours as a Group Operations Center Controller and as the Operations Officer for the U.S. Navy's Naval Coastal Warfare Harbor Defense Command. Rear Admiral Pelkowski also served as the Chief of Prevention and later as the Senior Reserve Officer at Sector NY, one of the largest field commands in the Coast Guard. He then served as the Deputy Chief of Staff for the 5th Coast Guard District in Portsmouth, VA where he qualified and filled in for the Active Duty Chief of Staff.

In 2010, Rear Admiral Pelkowski assumed command of the Coast Guard Joint Staff Unit in Suffolk, Virginia and supported the Joint Staff by providing Coast Guard expertise to the DoD Joint Chiefs. During that command tour, he simultaneously held a second command by starting NATO's first joint reserve unit directing U.S. Air Force, Marine Corps, Army, and Coast Guard reservists to advance numerous NATO priorities such as counter-IED and maritime chemical, biological, radiological, nuclear and enhanced conventional weapons detection initiatives. This was the first time that a Coast Guard reservist had assumed a NATO leadership position.

Rear Admiral Pelkowski's civilian experience compliments his Coast Guard work. This includes sailing as a "hawse pipe" deck officer in the U.S. Merchant Marine and ultimately rising to the rank of Master Mariner. Additionally, he earned a 3rd Assistant Engineer's license and sailed as an engineer. Later in his career he held several positions ashore including Chief Operating Officer and General Counsel for several commercial vessel operators. The highlight of his career was working as the president of a small towing vessel company which grew into a significant industry player. In 2009, he accepted a full time appointment as a Professor at New York Maritime College where he utilizes his maritime expertise to help develop the next generation of marine operators and maritime industry leaders.

Rear Admiral Pelkowski earned a Juris Doctor Degree from N.Y. Law School, an MBA from the N.Y. Institute of Technology, and a Bachelor of Engineering degree from N.Y. Maritime College at Fort Schuyler. He has studied at the National Defense University, Naval War College, Army War College, and the Joint Forces Staff College. He has earned a U.S. Merchant Marine Third Assistant Engineers license in addition to his Master's license, and he earned licenses to practice law in the States of New York & New Jersey.

Rear Admiral Pelkowski's military decorations include the Defense Superior Service Medal, Defense Meritorious Service Medal, Meritorious Service Medal (3 awards), Navy & Marine Corps Commendation Medal, and the Basic Training Honor Graduate Ribbon. He qualified as a U.S. Navy Expeditionary Battle Watch Commander and has earned the USCG Coxswain, Permanent Cutterman, & Advanced Boat Force Operations Insignias as well as the Joint Chiefs of Staff Identification Badge.

REAR ADMIRAL (Lower Half) Francis S. Pelkowski, USCGR

Current Assignment

June 14 to Present..... CG ATLANTIC AREA Senior Reserve Officer (SRO)

Assignment History

Aug 13 to June 14.....CG Deputy Commandant for Operations (DCO) Senior Reserve Officer (SRO) and Emergency Preparedness Liaison Officer (EPLO) Coordinator

Jul 10 – Aug 13.....Commanding Officer; CG Unit Joint Staff South

Apr 11 – Sep 11.....Active Duty; 7th CG District; Develop US Response Plan for Cuban oil spill

Jul 08 – Jul 10.....5th CG District, Reserve Chief of Staff

Feb 09 – Aug 09.....Active Duty; CGHQ's as Chief of the Office of Reserve Affairs, CG-131

Oct 06 – Jul 08.....5th CG District; Contingency Preparedness Leader for Reserve Component

Dec 05 – Oct 06.....Sector NY Senior Reserve Officer (SRO)

Nov 03 – Oct 06.....Sector New York, Reserve Prevention Chief

Nov 01 –Aug 02.....Active Duty; Mobilize/go overseas with US Navy's Harbor Def Cmnd Unit

Jul 01 –Nov 03.....Harbor Defense Command Unit 201; Operations Officer

Jun 96 – Jul 01.....CG Group Moriches, OPCEN Duty Officer & SAR Controller

Nov 94 - Jun 96.....CGC Dallas; Operations Duty

Jan 91 – Nov 94.....CGC Redbeech/RES Unit Vessels NY; Operations Duty

Jun 89 – Jan 91.....CGC Penobscot Bay/RES Unit Vessels NY; Operations Duty

Aug 86 – Jun 89.....Reserve Group NY, Reserve Training & Readiness Officer

Apr 80 – Aug 86.....Enlisted Boat Crew Member & Coxswain

Educational Summary

1991 – 1994..... N.Y. Law School, Juris Doctor Degree

1989 - 1993.....N.Y. Institute of Technology, Master of Business Administration (MBA)

1980 - 1984.....N.Y. Maritime College, Bachelor of Engineering in Marine Engineering

Military Personal Awards and Significant National Recognition or Achievement

Military Personal Awards:

05-31-2014	CG Commendation Medal
08-03-2013	Joint Chiefs Of Staff ID Badge
07-13-2013	Defense Superior Svc Medal
06-14-2013	Defense Meritorious Svc Medal
03-12-2012	Joint Meritorious Unit Award
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09-20-2003	Navy/MC Commendation Medal
03-16-2003	CG Meritorious Team Comm Ribbon
02-23-2002	CG Rifle Expert Medal

Updated: 09/03/15

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12-03-2001	CG Meritorious Team Commendation Ribbon
11-18-2001	Mobilization Device for AFRM
11-18-2001	Armed Forces Reserve Medal AFR
06-15-2001	CG Achievement Medal
12-14-2000	CG Special Ops Service Ribbon
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11-03-1994	DOT Outstanding Unit Award
12-11-1992	Humanitarian Service Medal
07-20-1992	CG Special Operations Service Ribbon
08-04-1990	CG Bicentennial Unit Commendation Ribbon
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04-02-1990	Armed Forces Reserve Medal
10-26-1985	CG Reserve Good Conduct Medal
03-16-1984	CG Coxswain Insignia
08-06-1981	CG Certificate of Appreciation
08-08-1980	CG Basic Training Honor Graduate

Significant National Recognition:

1994 Winner of the Abraham Markhoff Award from the Workers Compensation Bar Assoc.

Significant Current Professional Credentials or Recent Activities

1995	Passed New Jersey Bar Exam and issued Law license
1996	Passed New York Bar Exam and issued Law license
1984	U.S. Merchant Marine license as Third Assistant Engineer, Steam & Motor, Unlimited Horsepower
1985	U.S. Merchant Marine Deck Officer License