

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): Andrew (Andy) Justin Read.
2. Position to which nominated: Chair, Marine Mammal Commission.
3. Date of Nomination: March 19, 2015.
4. Address (List current place of residence and office addresses): Residence

5. Date and Place of Birth: June 4, 1958, Southampton, UK.
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). Kim Wainwright Urian, Research Associate, Duke University. No children.
7. List all college and graduate degrees. Provide year and school attended. B.Sc. University of Guelph (Ontario, Canada), 1980. M.Sc. University of Guelph, 1983. Ph.D. University of Guelph 1990.
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. Postdoctoral Investigator, Woods Hole Oceanographic Institution (1990-1992); Visiting Investigator, Woods

Hole Oceanographic Institution (1992-1995); Assistant Professor of the Practice, Nicholas School, Duke University (1995-2001); Rachel Carson Assistant Professor, Nicholas School, Duke University (2001-2004); Rachel Carson Associate Professor, Nicholas School, Duke University (2004-2012); Stephen Toth Professor of Marine Biology, Nicholas School, Duke University (2012-present). In my current position, I manage a staff of seven permanent research assistants and associates and supervise approximately ten Ph.D. and Masters students.

9. Attach a copy of your resume. Please see attached *Curriculum Vitae*.
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. Atlantic Scientific Review Group, National Marine Fisheries Service; Atlantic Bottlenose Dolphin Take Reduction Team, National Marine Fisheries Service; False Killer Whale Take Reduction Team, National Marine Fisheries Service; Pelagic Longline Take Reduction Team, National Marine Fisheries Service; Sea Turtle Advisory Committee, North Carolina Marine Fisheries Commission; Advisory Panel, Protected Resources Committee, Mid-Atlantic Fishery Management Council; Harbor Porpoise Take Reduction Team, National Marine Fisheries Service; Center for Independent Experts, National Marine Fisheries Service; Member, International Committee for the Recovery of the Vaquita, Government of Mexico, Committee of Scientific Advisors, Marine Mammal Commission, Right Whale Program Review Panel, Marine Mammal Commission.
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. President, Society for Marine Mammalogy; Member, Cetacean Specialist Group, IUCN; Member, International Committee for the Recovery of the Vaquita, Government of Mexico; Member, Monk Seal Review Panel, Society for Conservation Biology; Committee of Scientific Advisors, Marine Mammal Commission; Right Whale Program Review Panel, Marine Mammal Commission.
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. Society for Marine Mammalogy (membership current, President 2008-2010); North Carolina Coastal Federation (current member); Nature Conservancy (member 1995-2004); North Carolina Aquarium Society (current member); None of these organizations restrict 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. 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. No political contributions of \$500 or more, no offices held, and no services to political parties or election committees.
15. List all scholarships, fellowships, honorary degrees, honorary society memberships, military medals, and any other special recognition for outstanding service or achievements. Antarctica Service Medal, National Science Foundation (2011).
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. More than 150 publications – for a full list, please see attached *Curriculum Vitae*.
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 Subcommittee on Fisheries, Wildlife & Oceans (2008) – International Whaling Commission; House Committee on Merchant Marine &

Fisheries (1993) - Reauthorization of the Marine Mammal Protection Act.

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? I have extensive experience with the conservation of marine mammal populations at the national and international levels. My experience includes both scientific research to inform management and direct engagement with marine mammal conservation through participation in negotiated rulemaking and other activities. From 2003 to 2008 I served on the Committee of Scientific Advisors of the Marine Mammal Commission. I have also served on the U.S. delegation to the Scientific Committee of the International Whaling Commission. My desire to serve as Chair of the Commission stems from my strong support for the goals and objectives of the Marine Mammal Protection Act and my interest in working towards the conservation of marine mammals through improved implementation of the Act.
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? My primary role as Chair of the Marine Mammal Commission would be oversight of the policy making functions of the Commission, including the formulation of recommendations sent to other federal agencies. As Chair, I also would oversee the Commission's annual budget and expenditures, working together with the two other Commissioners and the staff of the Commission, especially the Commission's Executive Director and Administrative Officer. In addition, I would continue the practice of having independent auditors conduct annual reviews of the Commission's financial statements and accounting practices. My managerial experience includes financial oversight of a research budget of approximately \$1 million annually and past oversight of finances and operation of the Society for Marine Mammalogy, which has more than 2,000 members worldwide.
20. What do you believe to be the top three challenges facing the department/agency, and why? 1. Ensuring the effective conservation and

management of marine mammals in an era of flat or declining federal budgets. This will require innovative approaches to funding the necessary data collection and management programs and development of new partnerships with other federal agencies, industry, foundations, and non-governmental organizations. 2. Tackling issues that pose chronic (rather than acute) threats to marine mammal populations, including global climate change, ocean acidification, and the increasing eutrophication and contamination of some marine habitats. 3. Facilitating the coexistence of abundant marine mammal populations that have recovered from past depletion with human activities in coastal environments.

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. I am currently employed as a Professor by Duke University and receive both a salary and pension plan from the University. I have no private business dealings or financial arrangements.
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. I intend to maintain my position as a Professor at Duke University during my appointment. I also intend to retain my memberships on IUCN's Cetacean Specialist Group and the International Committee for the Recovery of the Vaquita, noted in Part A, question 11, and my current memberships specified in Part A, question 12.
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. My continued employment with Duke University presents the potential for a conflict of interest. Similarly, my unpaid positions on the IUCN Cetacean Specialist Group and the International Committee for the Recovery of the Vaquita present the potential for a conflict of interest. In addition, I have been advised that continuing to serve as a representative of the academic and scientific communities on various take reduction teams has the potential for a conflict of interest.
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. My ongoing employment with Duke University.
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. In consultation with the Marine Mammal Commission's General Counsel and the Office of Government Ethics, I have developed and signed an ethics agreement to resolve the identified potential conflicts of interest, which I will update, as necessary, prior to my appointment to the Marine Mammal Commission. Under that agreement, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Duke University. In addition, I will not participate personally and substantially in any particular matter in which the Cetacean Specialist Group or the International Committee for the Recovery of the Vaquita is a party or represents a party. Finally, I will resign my positions as the academic/scientific representative on the three Take Reduction Teams on which I currently serve.

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? 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. 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.

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

Andrew J. Read, being duly sworn, hereby states that he has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his knowledge, current, accurate, and complete.

Andrew Read

Signature of Nominee

Subscribed and sworn before me this 9 day of June, 2015

Angela G. Davis
Notary Public



Commission Expires May 6, 2019