

## **Senate Commerce Committee Nominee Questionnaire, 116<sup>th</sup> Congress**

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):

Theodore (Todd) Edward Rokita

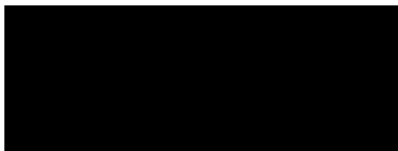
2. Position to which nominated:

Director, Amtrak Board of Directors

3. Date of Nomination:

May 14, 2019

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



OFFICE  
3755 E 82<sup>nd</sup> Street, Ste 100  
Indianapolis, IN 46240

5. Date and Place of Birth:

2/9/1970, Chicago, IL

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).

Kathleen Denise Rokita  
C.P.A.  
Somerset CPA's

Children:



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

Wabash College, Crawfordsville, IN; Bachelor of Arts (1988-1992)  
Indiana University Law School, Indianapolis, IN Juris Doctor (1992-1995)

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.

All post-undergraduate employment is listed below. I believe all of these positions relate to the position for which I am being nominated in that it's a Board of Directors position, which requires bringing all professional experience to the Board table to best represent the interests of Amtrak.

General Counsel and Vice President of External Affairs, Apex Benefits Group, Inc. (2019-Present).

Member, United States Congress (2011-2019); served on the House Transportation Committee, Rail water, and Pipeline subcommittee; aviation committee

Indiana Secretary of State, (2003- 2011).

Chief Operating Officer and General Counsel, Office of Indiana Secretary of State (2000-2002)

Attorney, Epstein & Frisch, Trial Lawyers (1995-2000)

Clerk, US Bankruptcy Court, Southern District of IN, Honorable Frank J. Otte, Presiding Judge (1994)

9. Attach a copy of your resume.

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 ten years.

Election Assistance Commission. (2003-2010) As Indiana's Secretary of State, I was the chief election officer of the state and had standing under the Help America Vote Act to serve on various non-paid, advisory working groups and Advisory boards.

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.

WishBone Medical, Inc., Advisory Board (2019- Present)

Acel 360, Advisory Board, consultant. (2019- Present)

St. Joseph's College, Trustee (2007-2017)

Achieve International, Board of Directors (2012-2018)

St. Vincent Hospital Foundation, Board of Directors (2011-2013)

Hoosier Seneca, LLC, Managing Member (2003- Present)

Aircraft Owners and Pilots Association Foundation, Board of Directors (2014- Present)

Merchandise Warehouse, Advisory Board Member (2019- Present)

National Association of Secretaries of State, President (2007-2009)

Indiana Council for Economic Education, Member, Board of Directors (2004- 2010).

Apex Benefits Group, Inc. (2019-Present).

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 religiously affiliated organization, private club, or other membership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.). 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 disability.

In addition to the positions listed in response to questions 8,10, and 11 above, I have been a member of the following:

St. Malachy Parish Brownsburg, IN Parishioner (2015- Present)  
St Mary Parish, Indianapolis, IN Parishioner, (1993-2015)  
Knights of Columbus, Whiting IN Council (2003-Present)

The Knights of Columbus organization restricts membership to “males 18 years of age or older who are practical (that is practicing) Catholics.”  
<http://www.kofc.org/en/join/prospective.html>

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.

Yes. Please refer to my answer to question 8. I have twice been a candidate for the Office of Indiana Secretary of State and 4 times been a candidate for the U.S. Congress. I have once been a candidate for the U.S. Senate.

No campaign committee had or maintains any debt.

14. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities.

Todd Rokita Election Committee, Candidate (2001-2010)  
Hoosiers for Rokita, Candidate (2010-2018)  
Fund for American Exceptionalism (leadership PAC), Sponsor (2011-Present) My role is to raise money and be the spokesperson for the Fund

15. 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.

\$2500, Hoosiers for Rokita, (2010-2019) aggregate sum over the time period.

\$2,000, Indiana State Republican Party, (June 2016)

\$500, AOPA, PAC (February, 2016)

\$2,500, Romney for President, (September, 2011)

\$1,000, Judy Biggert for Congress (September, 2011)

\$500, Carlos May for Congress, (February, 2010)

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

Eli Lilly Fellow

Honorary Doctor of Letters, DY Patel University, Pune, India

Aspen-Rodel Fellow

Henry Toll Fellow

AOPA Hartranft Award

National Business Aviation Association, American Spirit Award

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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 numerous publications over the last 10 years. The list below represents my best effort to answer the question.

Make Agencies Smaller, Efficient, The Times, Indy Star, November 2001

Streamlining Government Prevents Budget Crises, IndyStar, November 2001

Three Ways to Improve Voter Participation Process, IndyStar, 2002

Exercise Your Right to Vote Tomorrow, IndyStar, May 2003

Hoosiers Can Have Strong Voice in States Election-Reform Plan, Post-Tribune, June 2003

Future of State Elections, The Journal, July 2003

Investors Need Protection at State Level Too, The IndyStar, August 2003

Strengthen, not Weaken, Investor Protection, NW Times, September 2003

It's Important for Hoosiers to Understand Absentee Ballot Procedure, South Bend Tribune, October 2003

It's A Powerful Tool and Your Civic Duty, IndyStar, November 2003

Most Live Within A Few Blocks of A Polling Place, IndyStar, September 2004

Do Two Things This Election Vote and Get Others to Vote, Sky View Elkhart, October 2004

Five Questions for Todd Rokita, IndyStar, October 2004

Secretary of State Pleased With Election, IndyStar, November 2004

Cleaning Up Voter Rolls Will Ensure Accurate Tallies, The Journal, April 2004



Let's Try Rotating Primaries, IndyStar, May 2004

Government Changes to Help Businesses, IBJ, January 2005

Reform Will Preserve Faith in Election Process, Journal Gazette, March 2005

Bills Will Protect Vote and Curb Election Fraud, South Bend Tribune, April 2005

Viewpoint Tracking Fraud, The Herald, April 2005

Indiana A Model for Other States, Journal and Courier, April 2006

Secretary of State Warns of Shady Loan Brokers, Post Tribune, August 2006

Fight to Repeal Obama's Health Plan, Journal and Courier, June 2011

Free Trade Benefits Hoosier Workers, Farms, Businesses, Martinsville Reporter-Times,  
November 2011

RAISE Act Would Permit Merit Pay-raises, The Washington Examiner, April 2012

Fight to Repeal Obama's Health Plan, Journal and Courier, June 2012

Keeping the Dividend Tax Low is Good for Investors- and our Economy, Indiana Utility  
Shareholders Association, September 2012

Sprawling Tax Code Stands in the Way of Economic Recovery, The Hill, September  
2012

Sweeping Tax Reform Long Overdue, IBJ, November 2012

The Real Facts about Debt, Entitlements, IndyStar, December 2012

Out of tragedy, an opportunity to teach and change Washington's attitude, Journal and Courier, January 2013

Let's Work Together for Safer Communities, Instead of Looking to Washington, Monticello Herald Journal, January 2013

On School Choice, Indiana is Poised to Lead the Nation, NWI Times, January 2013

Let's Work Together for Safer Communities, Instead of Looking to Washington, Washington Times, January 2013

Path to Prosperity – A Down Payment on a Prosperous Future, Red State, March 2013

House Budget Offers a Medicaid Solution for Indiana, Terre Haute Tribune Star, March 2013

The Facts Show that Medicaid is Not Working Well, Indianapolis Star, April 2013

Tax Reform is Key to Job Growth, Debt Reduction, Indiana Manufacturers Association, April 2013

On Spending Cuts and Leadership, Monticello Herald Journal, May 2013

Note to Fellow Liberty-Minded Hoosiers on Common Core, Tea Party Orgs, June 2013

A Bipartisan Solution to the Student Loan Mess, Journal and Courier, June 2013

Automobiles and American Exceptionalism, Washington Times, January 2014

Rep. Rokita: Need to rein in a president who sidesteps Constitution, Journal and Courier, April 2014



Time to Strengthen the U.S.-India Relationship, USINPAC, June 2014

Why the War on Poverty Failed and How We Can Fix It, Real Clear Politics, July 2014

A Shameless, Unprecedented Veto, Journal and Courier, October 2015

Rokita- Budget Deal Fails to Cure Washington's Compulsive Spending Problem, The Pape of Montgomery County, November 2015

Biggest Power Transfer in 25 Years, Kokomo Tribune and Pharos Tribune, January 2016

Reality of Good Roads, Electric Consumer, January 2016

What to do With the Biggest Power Transfer in 25 Years, Kokomo Perspective, January 2016

No Reason to Stall, The Hill, January 2016

Public Forum: Photo ID Law Helps Ensure Votes Not Diluted, Pharos Tribune, April 2016

Indiana's Voter ID Law Works, Journal and Courier, May 2016

Set Record Straight on Nutrition Bill, Journal and Courier, May 2016

Practical Reforms for Child Nutrition, Kokomo Tribune, May 2016

We Need School Lunch Reform, IndyStar, May 2016

Correcting the Record on Child Nutrition, Indianapolis Recorder, June 2016

School Lunch Bill Offers Flexibility, IndyStar, June 2016

Commonsense Reform for Child Nutrition, South Bend Tribune, Greensburg Daily News and The Hill, June 2016

Nutrition aid needs common-sense reforms, Indianapolis Business Journal, June 2016

A Look Back On A Decade of Voter ID, Grand Forks Herald, July 2016

Holcomb is the Best Shot at Improving Roads, The Times of NWI, October 2016

Feds to Blame for ITT Collapse, Indianapolis Business Journal, October 2016

Rokita Offers Sympathies for Darlington Community, November 2016

Rep. Rokita Statement on Nomination of Dr. Tom Price for HHS Secretary, Ft. Wayne Journal Gazette, November 2016

New 21st Century Cures Act a Positive Step, Journal and Courier, December 2017

When Parents Have a Choice, Kids Have a Chance, GOP.gov, January 2017

Gorsuch Nomination 'a win' For America, Kokomo Tribune, February 2017

Sen. Donnelly, Vote for Dr. Price for HHS Secretary, The Hill, February 2017

Trump Travel Band 'Prudent Measure' and I'm Glad He Did It, CNBC, February 2017

A Cheer for the Confirmation of Dr. Tom Price, Kokomo Tribune, February 2017

Give States More Control Over Medicaid, IndyStar, March 2017

State Should Double Preschool Funding, IndyStar, March 2017

Rokita Votes to Support President Trump's Agenda, May 2017

Back to School, Work on Education Policies, Kokomo Tribune, August 2017

We Must Always Be Prepared, Kokomo Tribune, September 2017

Onerous Code Costs Us in Investment, Journal Gazette, September 2017

U.S. Prosperity Hinges on Tax Code, The Times of NWI, September 2017

Tax Reform Will Help Put America First, Current, October 2017

Viewpoint: Holding Iran Accountable, South Bend Tribune, October 2017

Time to Put Wasteful Federal Employees on Notice, The Times of NWI, November 2017

Our Veterans are the Real Heroes, The Flyer Group, November 2017

Good Guys with Guns Stop Bad Guys with Guns, Daily Caller, November 2017

Tax Cuts Aren't Crumbs, Kokomo Tribune, February 2018

What I'm Doing to Ensure Americans Keep Every 'Crumb' of Their Businesses, Townhall, February 2018

The Era of Leaving our Border Open is Over, Journal Gazette, March 2018

Census Should Not Count Undocumented, Kokomo Tribune, March 2018

Trump Continues to Put Americans First by Adding Citizenship Test to Census, The Hill, April 2018

Overlooking Comey's Potential Crimes 'Cannot Be Tolerated,' Breitbart, May 2018

Luke Messer can't Beat Joe Donnelly, Kokomo Tribune, July 2017

Rokita in Senate: 'I Will Defeat the Elite', IndyStar, September 2017

U.S. Prosperity Hinges on Simpler Tax Code, NWI Times, September 2017

The Wall Must Come First, The Hill, September 2017

Going to the Moon and in Five Years, on the cheap, Yes it is Possible, Space Review, May 6, 2019

The Rokita Report, (2011-2018), weekly electronic newsletter, an official publication of the Office of the 4<sup>th</sup> Congressional District of Indiana.

Red Tape Rollback, Biennial Reports, (2014, 2016, 2018). The report of an official program of the Office of the 4<sup>th</sup> Congressional District of Indiana, detailing work in reducing regulatory hurdles presented by constituents.

School Safety Summit Reports (2015-2018). Three reports of public meetings sponsored by the Office of the 4<sup>th</sup> Congressional District of Indiana.

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an "alias" or "handle" you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

Facebook Group Page: Todd Rokita (active, formerly Congressional campaign)

[https://www.facebook.com/search/pages/?q=todd%20rokita&ref=eyJzaWQiOiIiLCJyZWYiOiJ0b3BfZmlsdGVyIn0%3D&epa=SERP\\_TAB](https://www.facebook.com/search/pages/?q=todd%20rokita&ref=eyJzaWQiOiIiLCJyZWYiOiJ0b3BfZmlsdGVyIn0%3D&epa=SERP_TAB)

Twitter: @ToddRokita (active, formerly Congressional campaign)  
<https://twitter.com/ToddRokitaIN>

LinkedIn: Todd Rokita (active)

Facebook: Todd Rokita (active)  
<https://www.facebook.com/ToddRokitaIN/?ref=bookmarks>

19. 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.

As Indiana Secretary of State, I have testified twice before the U.S. House Administration Committee on matters related to election administration during the years (2003-2009). In both cases, the testimony was given in my capacity as President of the National Association of Secretaries of State and dealt with implementation of the Help America Vote Act. I do not possess copies or exact dates of the testimony.

20. 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?

As a Member of Congress and as Indiana's Secretary of State, I represented a district and a State that has had a significant Amtrak presence, particularly having a long-distance train route and schedule. I believe the Board needs more experience and representation from areas of the country that utilize Amtrak's long-distance train routes, like Indiana. My hometown has Amtrak service and the train passes right behind my son's little league baseball diamond three times a week, meaning I can also bring the experiences of an occasional user and a citizen in a town with an Amtrak presence.

I served on the U.S. House Transportation and Infrastructure Committee, which is the authorizing committee for Amtrak. I served also on the



Railroads, Pipelines, and Hazardous Materials Subcommittee, which was the specific subcommittee of jurisdiction for Amtrak as well as the rail industry generally. My previous experience reauthorizing Amtrak and performing necessary oversight provides a valuable foundation for overseeing Amtrak as a Director. Serving on these committees also allowed me to help lead as Congress passed the Fixing America's Surface Transportation Act, or the FAST Act.

As a practicing litigation and employment law attorney, I would be able to bring that experience to the Board. I would also be able to bring aviation legal and operational experience to the board for adaptation to passenger rail uses and scenarios.

21. 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 Director of Amtrak, I believe I would have a significant role in the oversight of management and general accountability. As Indiana's former Secretary of State, I led 4 separate agencies with 100's of public sector employees, from attorneys, investigators, accountants, and auditors, to front desk/line hourly employees, so I can bring that management and accountability experience to the Board. In that role, I successfully delivered on-time service while working from the same budget amount the office used twenty (20) years earlier.

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

If confirmed, safety will always be my top priority at Amtrak. I believe three challenges facing Amtrak are:

1. Justifying Amtrak's existing network. Many critics of Amtrak attribute low ridership numbers for the need to reduce its footprint, completely discounting the fact that a robust network is exactly what's needed to attract ridership. This misconception needs to be rectified if Amtrak is to work for all of the U.S.

2. Maximizing Amtrak's operational efficiency and safety: While Amtrak does a good job with safety and has a record to back that up, it is



understandably under tremendous scrutiny, like the airline industry, which is heightened even further when Amtrak passengers suffer an incident or tragedy. The Washington state accident is a recent example. Board members must have a high and solemn appreciation for this.

Similarly, Amtrak's on-time performance remains abysmal in parts of the country like Indiana, and like the other areas mentioned here, I would make this a high priority of my Board membership.

3. Addressing Amtrak's budgetary limitations. Every organization, no matter how good, can be better fiscally. Amtrak certainly is no exception.

## **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 have the following accounts, salaries, and investment interests. Please also see my response to E.1, below.

I currently receive income from Apex Benefits Group, Inc. for my position as General Counsel. If confirmed, I will continue my employment at Apex Benefits Group, Inc. during my service as an Amtrak Board member.

I have a 457 and a 401(a) plan with the State of Indiana, as part of my previous positions with the State. If confirmed, I will retain and continue to participate in these plans during my service as an Amtrak Board member. My holdings in these plans are all diversified mutual funds. I also have a Federal Employee Retirement System (FERS) pension plan with the United States Government from my service as a Member of the United States House of Representatives, as well as Traditional IRA and Roth IRA accounts. If confirmed, I will retain these plans and accounts during my service as an Amtrak Board member.

I also serve in the following positions: (i) advisory board member for Wishbone Medical, Inc.; (ii) advisory board member for and consultant to Acel 360; (iii) managing member of Hoosier Seneca LLC; (iv) board member for Aircraft Owners and Pilots Association Foundation; and (v) advisory board member for Merchandise Warehouse. If confirmed, I will retain these positions during my service as an Amtrak Board member. I also hold interests in four non-commercial residential real properties, from which I receive rental

income. If confirmed, I will retain these interests and continue to receive rental income from these properties during my service as an Amtrak Board member.

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.

As this appointment is for a part-time board position, I intend to keep my employment positions, board positions, and keep other private clients and future opportunities.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and Amtrak's Ethics Officials 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 Amtrak and that has been provided to this Committee. I am not aware of any other potential conflicts 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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and Amtrak's Ethics Officials 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 Amtrak and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and Amtrak's Ethics Officials 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 Amtrak and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

6. Describe any activity during the past ten years, including the names of clients represented, 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 part of my service as a Member of the United States House of Representatives and as Indiana Secretary of State, I participated in the passage, defeat, and modification of legislation and related activities.

## **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: Yes
  - a. Provide the name of agency, association, committee, or group;  
Case #1: Federal Election Commission



Case #2: Indiana Supreme Court Disciplinary Commission  
Case#3: Indiana Supreme Court Disciplinary Commission

- b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;

Case #1: July, 2017

Case #2: July, 2018

Case#3: October, 1997

- c. Describe the citation, disciplinary action, complaint, or personnel action;

Case #1: American Democracy Legal Fund unsubstantiated complaint to the FEC accusing me and other US Senate candidates of raising campaign funds before formally announcing a U.S. candidacy.

Case#2: Third Party (non-client) request to the Disciplinary Commission to investigate whether I reported any legal infractions on my Bar application.

Case#3: Client Complaint against entire legal team for substandard legal representation during client's criminal jury trial.

- d. Provide the results of the citation, disciplinary action, complaint, or personnel action.

Case#1: Accusation was categorically denied and dismissed by the Commission

Case#2: Complaint was summarily dismissed in my favor, without the need, or ability, to respond.

Case#3: Complaint was summarily dismissed in my favor, without the need, or ability, to respond.

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.

Yes. Arrested and released without conviction for allegation of consumption of alcohol while not of the age of 21 while in college.

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.

Yes, Hoosier Seneca, LLC was the Plaintiff in a debt collection action. Pursuant to a settlement agreement, no further details can be provided.

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, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority?

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



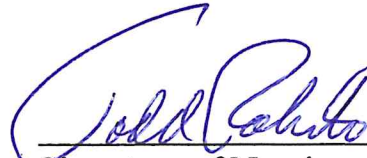
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(Nominee is to include this signed affidavit along with answers to the above questions.)

**F. AFFIDAVIT**

**Theodore Rokita, 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.**



Signature of Nominee  
Theodore E. Rokita

Subscribed and sworn before me this 10<sup>th</sup> day of June, 2019.

  
Notary Public

Printed: Joan Gause-Fletcher

County/State: Marion County - Indiana

# Todd Rokita

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## *CORE COMPETENCY*

I am Genuine, Driven, and Detailed. With Midwestern values and work ethic, I use my executive, legal, capital-raising, marketing, governmental, personal and public speaking skills to fulfill executive level duties and to actively engage members and sponsors.

## *GOAL*

To lead a purpose-driven organization in an industry about which I am passionate by using the above skillsets and my experience in well-defined strategic planning, accountable execution, successful disruption practices, and proven team and culture building that recognizes and nurtures human capital.

## *SUMMARY OF EXECUTIVE LEADERSHIP*

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### ***Executive Team/Culture Building Leadership***

- For 16 years, built entire employment forces consisting of teams of executives, managers and hourly employees who successfully served professional clients and retail customers.
- Always led employees using precise metrics relative to defined tasks to achieve specific goals. Utilized these metrics, tasks, and goals in strategic plans that were built with significant input from employees and stakeholders and used as everyday work tools.
- Personally raised \$10 million of capital with an average legal cap of \$1000 per investor.
- Chosen by fellow executives to serve as President of the largest association of state-wide elected officials. Grew membership, sponsors and successfully implemented national policies.
- Chosen by peers to several leadership positions in The U.S. House of Representatives where I built teams of peers as well as staff, successfully achieving aggressive policy goals.
- Secured passage of several significant, but difficult to support laws by personally leading efforts to secure individual votes for the changes.
- Built statewide and national teams of diverse leaders and volunteers resulting in election to state-wide and federal elected offices by wide majorities.

### ***Fiscal Executive Leadership***

- Reduced the size and the costs of a high-profile enterprise with four divisions and 100's of employees to levels only seen 20 years prior. Met or surpassed customary private sector success measurements, achieving a 6 to 1 revenue to cost ratio, from a previous ratio of 1 to 1.
- Reduced a separate organization's budget by more than 10 percent, while being publicly rated in the top 25 and top 5 for effectiveness and customer service, respectively.
- Led the successful effort to reduce federal government spending by \$6T, relative to the budget forecast previously in place.
- Earned several awards from 'good government' groups, taxpayer unions, and business associations for fiscal leadership.

### ***Legal Executive Leadership***

- Oversaw an average of 40 lawyers in various practice areas like securities law and regulation, business entity administration and governance, state and federal election law, auto dealer

regulation and the administration and enforcement of the uniform commercial code.

- Practiced law for several years and litigated in the areas of human resources law, aviation law and regulation, real estate acquisition and disputes, and debtor-creditor law.
- Represented businesses in litigation and advised many clients' strategic growth planning.
- Briefed and argued cases before state appellate courts and oversaw the briefing and argument of a United States Supreme Court case, winning it, 6-3.
- Carried out four jury trials either as lead or co-counsel, obtaining favorable verdicts in all four.
- Directed the investigation of white-collar criminals, yielding over 300 years of incarceration.
- Working knowledge of most facets of federal OSHA and ERISA law.

### ***IT Executive Leadership***

- Oversaw the successful development and implementation of three major technology projects involving nearly 100 independent stakeholders and that required 100 percent accurate data migration. Two projects involved technical and sensitive Uniform Commercial Code data and other business entity and formation data.
- Successfully managed legacy users and vendors whose interests were not originally aligned with the project's goals and who were not under my employ or direction.
- All projects were delivered under budget and on deadline.

### ***Industry-Specific Executive Leadership***

- Extensively involved with authoring and passing several federal laws positively impacting energy development, healthcare, people with disabilities, maritime transportation, logistics, aviation, education, public spending, block development grants, human resources, pensions and the workforce skills gap.
- Worked extensively with U.S. Environmental Protection Agency, and the federal departments of Labor, Education, Transportation, Defense, Army Corp of Engineers, Federal Aviation Administration, Federal Railroad Administration, Mine Safety and Health Administration, and the Congressional Budget Office.
- Direct participation in successfully eliminating or streamlining nearly 70 capricious, outdated or duplicative federal regulations, amounting to significant cost reduction to consumers and businesses in the areas of agriculture, aviation, education, healthcare, and mine safety.
- Actively involved in community, state and federal fights against opioid addiction.
- Involved in healthcare legislation and regulatory reform projects designed to expand access to insurance, improve the delivery of care and remove free market restrictions.
- Part of a determined initiative to modernize Veterans' health care and community programs.
- Experienced in the for-profit and not-for-profit public and private education industries at the elementary, secondary and higher education levels.
- Experienced in the U.S. and international aviation industry as well as associated regulations, including but not limited to third class medical and other reforms, air traffic control privatization, aircraft manufacturing revitalization, unmanned aircraft systems and regulation, and space and supersonic airspace issues and regulation.
- Experienced in state and federal regulation of the maritime, inland waterways, railroad, mining and pipeline industries.
- Working knowledge of the relative law and regulations regarding international trade and tariffs.
- Worked extensively with most Indiana state and local elected officials, economic development arms, and governmental departments.

## ***WORK HISTORY***

***United States Representative, Indiana*** (2011-Present)

- Popularly elected in 2010, 2012, 2014, and 2016 to the Fourth Congressional District of Indiana
- Chairman, House Subcommittee on Early Childhood, Elementary, and Secondary Education
- Vice Chairman, House Committee on the Budget
- Member, House Committee on Education and the Workforce (Health, Employment, Labor and Pensions subcommittee)
- Member, House Committee on Transportation and Infrastructure, (aviation, railroad, and pipeline subcommittees)
- Member, Committee on House Administration (2011-2014)
- Member, Steering Committee (2011-2012) (elected by peers to make their committee assignments)
- Director, Republican Study Committee (2014- Present) (group affecting policy direction and tactics)

***Indiana Secretary of State***, (2003- 2011)

- Popularly elected in 2002 and 2006 to the third highest office in Indiana State government
- Elected as the youngest Secretary of State in the nation
- Served as Indiana's chief election official, Indiana's chief securities and mortgage fraud investigator, and administered the legal and financial filings of 300,000 businesses.

***Chief Operating Officer and General Counsel***, Office of Indiana Secretary of State (2000-2002)

- Chief operating officer of third highest constitutional Indiana state office
- Responsible for representing the Secretary of State on all official matters and internal office matters
- Chief human resources officer
- Represented the office on all legal matters related to human resource matters, contract preparation, legislative initiatives, securities, mortgage, business entity and uniform commercial code law, and spearheaded the development and implementation of all internet technology initiatives.

***Attorney***, Epstein & Frisch, Trial Lawyers (1995-2000)

- Business consulting, business litigation, aviation law, and general litigation defense practice.
- Chair, Aviation Law Committee, State Bar Association (1997-1999)

***Clerk***, US Bankruptcy Court, Southern District of IN, Honorable Frank J. Otte, Presiding Judge (1994)

***EDUCATION***

***Indiana University School of Law***, (1992-1995)

- Juris Doctor Degree, May 1995
- Editor, Indiana International and Comparative Law Review

***East China Institute of Politics and Law***, Shanghai, Peoples Republic of China (1993)

- Transitory student studying all facets of Chinese business law and culture

***Wabash College***, Crawfordsville, IN, (1988-1992)

- Bachelor of Arts degree, Political Science major with political philosophy emphasis. Speech Minor
- Editor-in-chief, The Bachelor, college newspaper
- Consul (President), Sigma Chi Fraternity

***University of Essex, Colchester, England***, (1990-1991)

- Transitory student studying English history and European politics

***OTHER PROFESSIONAL ACCOMPLISHMENTS***

***National Association of Secretaries of State***

- President (2007-2009)
- Vice President (2006-2007)
- Treasurer (2005-2006)
- Chair, Standing Committee on Securities Regulation (2004-2005)

***Election Assistance Commission (2003-2008)***

- Past Member, nine-member bipartisan Executive Board that represents the 50 states and advises the United States Election Assistance Commission
- Co-Chair, Election Assistance Commission Executive Director Search Committee (2005)

***Commercial Airman***, 28 year pilot, Multi-engine and Instrument ratings with 3,000 hours total time.

***AOPA Hartranft Award***, for extraordinary leadership and outstanding General Aviation advocacy. (2017)

***Guardian of Small Business Award***, National Federation of Independent Businesses, the organization's highest legislative award (various years)

***Motor and Equipment Manufacturers Assn., Joseph M. Magliochetti Award***, for extraordinary leadership on behalf of the parts manufacturing industry.

***Aspen-Rodel Fellow***, Bipartisan program of promising public leaders selected nationally to study the fundamental values that lie at the heart of American democracy. (2006- Present)

***Indiana's "40 Under 40"***, One of Indiana's top 40 business, government and community leaders under the age of forty, as named by Indianapolis Business Journal. (2005)

***Henry Toll Fellowship Program***, Bipartisan program of 40 recognized public leaders selected nationally to participate in professional and leadership development exercises. (2008)

***Ability One Champion Award***, for leadership that enhances the economic and personal independence of persons with blindness and other severe disabilities. (2015)

***BOARDS AND CHARITABLE ACTIVITIES***

***Aircraft Owners and Pilots Association Foundation***, Member, Board of Directors (2014-Present)

***Veterans Airlift Command and Angel Flight***, Volunteer (2011- Present)

- Actively fly missions for Veterans Airlift Command and other similar non-profits dedicated to provided free air transportation to children and post-9/11 combat wounded veterans and their families for medical and other compassionate purposes.

***Saint Joseph's College***, Rensselaer, IN, Member, Board of Trustees (2007-2017)

***Achieve International***, Indianapolis, IN; Member, Board of Directors (2012-2018)

- Advised the organization in their focus on helping troubled teens in Indianapolis, IN through physical training and team building.

***Saint Vincent Hospital Foundation***, Member of the Board of Directors (2011-2013)

***Indiana Council for Economic Education***, Member, Board of Directors (2004-2010)

***St. Malachy Parish***, Brownsburg, Indiana, Member