

*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 "No" 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):

*Thomas George Allan Jr. / Tom, Tommy*

2. Position to which nominated: *Rear Admiral, Lower Half*

3. Date of Nomination: *23 October 2017*

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

*Home:*

[REDACTED]

*Office:*

[REDACTED]

5. Date and Place of Birth:

*01/09/1968*

*Belleville, 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).

*Spouse: Kimberly A. Allan  
Preschool Teacher  
Living Hope Lutheran Church*

*Children: Tyler 23*

*Amanda 20*

[REDACTED]

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

*Bachelor of Science in Management, U.S. Coast Guard Academy, 1990*

*Master of Business Administration in Financial Management, University of Baltimore, 2001*

*Seminar XXI, Massachusetts Institute of Technology (MIT), 2016*

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.*

*2017-Pres: CG-00, Executive Assistant to the Commandant  
2015-2017: CG- 0921, Chief, Congressional & Govt Affairs  
2012-2015: Commander, USCG Sector Jacksonville, FL  
2010-2012: CG-00, Special Assistant to Commandant, CDR/ CAPT  
2007-2010: DOG (DG-8), Chief, Resources & Requirements Division  
2005-2007: Response Department Head, USCG Sector Charleston, SC  
2004-2005: Deputy Group Commander, USCG Group Charleston, SC  
2003-2004: CG-843, Assistant Chief, Policy and Programs Division  
2001-2003: CG-CFM-3, Chief, Policy and Programs Division  
2000-2001: Student, Univ of Baltimore, Financial Management Program  
1996-2000: Chief, Surface Operations, MSO/GRU Portland, OR  
1995-1996: Chief, Op Support Division Intel Coordination Center  
1994: Substitute Teacher, Prince Georges County, MD  
1993-1995: Senior Watch Officer, Intelligence Coordination Center  
1990-1993: Deck Watch Officer, USCGC HAMILTON*

9. *Attach a copy of your resume.*

*My official Coast Guard Biography is attached.*

10. *List any advisory, consultative, honorary, or other part-time service or positions with Federal, State, or local governments, other than those listed above, within the last five years.*

*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.*

*American Society of Military Comptrollers (2001-2010 – member only)*  
*Military Officer Association of America (2000-present – member only)*  
*Boy Scouts of America: (1999-2016) Cub Master (2003-2004), Den Leader (2000-2004), Assistant Den Leader and Committee Chair (2007-2013)*  
*US Coast Guard Alumni Association (1990-present – member only)*

*None of these organizations restricts 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.*

*None.*

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

*Military Medals:*

*USCG Legion of Merit*  
*USCG Meritorious Service Medal (4)*  
*USCG Commendation Medal (3)*  
*USCG Achievement Medal (2)*

*University of Baltimore – MBA – Summa Cum Laude*

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.*

*None.*

18. *Given the current mission, major programs, and major operational objectives of the department/agency to which you have been nominated, what in your background or employment experience do you believe affirmatively qualifies you for appointment to the position for which you have been nominated, and why do you wish to serve in that position?*

*The Coast Guard has been an integral part of my daily life since I swore the oath to support and defend the Constitution of the United States in the summer of 1986 at the Coast Guard Academy. During these 31 years, I sailed to Australia, Asia, South America, Europe, and Africa, representing my Service and my Nation. I performed in nearly every operational mission of the Coast Guard. I rescued mariners in distress, interdicted illegal contraband and detained smugglers, responded to environmental disasters, ensured the safety and security of our \$4.6T marine transportation system. For 31 years, I stood the watch to ensure the security of our Nation.*

*Surrounded by an inspiring 55,000 active duty, reserve, and civilian work force, I was moved to action by great leaders and built an understanding of organizational strategy that allowed me to best serve the workforce and community. In addition to my operational experience, I worked in budget, intelligence, legislative affairs, and with the executive branch, providing me a comprehensive understanding of how good government works.*

*The diversity of my career gave me a solid foundation upon which to build. With a natural curiosity and a bias for hard work, I ask questions and learn more every day from the great people around me. Afforded this opportunity to continue to serve and lead in this incredible service, I look forward to showcasing the dedicated work of our people and arming them with the tools they need to secure and defend this great Nation, today and into the future.*

19. *What do you believe are your responsibilities, if confirmed, to ensure that the department/agency has proper management and accounting controls, and what experience do you have in managing a large organization?*

*As the Coast Guard is called by the President and Congress to carry out our missions, it is my responsibility to provide the oversight needed to ensure these duties are carried out lawfully and efficiently. From my first day as an Academy cadet, I began preparing for leadership positions within this organization. As an Ensign, I was charged with responsibility of a shipboard division, and each new job and promotion thereafter came with greater responsibility and complexity. At every level, whether managing thousands of dollars or tens of millions of dollars, I established processes, set controls, and exercised appropriate oversight to ensure the proper execution of operations and support activities alike. Fiscal responsibility is paramount; any waste is a detriment to the Service and erodes public trust.*

*Over the past several years the Coast Guard received a clean financial audit; a testament to the culture of our Service. The clean audits provides transparency,*

accountability, and reassures the public and those responsible for overseeing the Coast Guard that they are getting the best benefit of every dollar. With my personal experiences and training in budgeting and oversight, I am confident in my ability to successfully lead and manage even more complex parts of the Coast Guard enterprise while ensuring our stellar financial track record continues.

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

The three primary challenges I see facing DHS and the Coast Guard are: preserving future readiness given increasing national budget pressures; recruitment and retention of a highly skilled and more diverse workforce; and continued innovation and process improvement to stay one step ahead of the complex threats the future holds.

As the President and Congress set priorities for the future, they are forced to address rising deficits and balance the needs between discretionary and non-discretionary spending. DHS and the Coast Guard face the added difficulty of competing with over 20 other Departments and Agencies for 'non-defense discretionary' funds. This creates a fierce battle over National priorities that can often overlook the needs and comparatively minimal budget of the smallest member of the Armed Forces. As the Coast Guard looks to recapitalize aging cutters, aircraft, and shore infrastructure, while simultaneously seeking increased operational funding to maintain readiness, flat line budgets can slowly mask impacts to future readiness. As a leader within the Coast Guard, I will strive to provide the details necessary for the President and Congress to understand our needs and the value the Coast Guard brings to our Nation.

This greatness of this United States is due to our people – a diverse mix of people whose individual viewpoints allowed this Nation to grow and thrive. The diversity of background, thought and experience, provide organizations a better understanding of those they serve now and how to meet their needs and expectations in the future. As we look to the workforce of the future, it must mirror the diversity of our Nation and be equipped with the ever increasing technical skills needed to operate complex cutters and aircraft, effectively function within the operational domain of cyber space, and provide proper oversight of the maritime industry who are, themselves, investing in the latest technology to better compete with international business. To continue to enjoy high performing hard working crews, the Coast Guard must evaluate current recruiting efforts and how our human relation policies affect retention. Rarely are the Armed Forces able to compete for the best talent based on salary alone. However, through our missions, duty to the Nation, and ethos, we attract some of the very best talent – people looking for more than a salary who seek to serve and make a difference.

Through focus and leadership, the Coast Guard opened up many opportunities for underrepresented minorities and is targeting technical skill needed to man the world's best Coast Guard. While progress is being made, there is still much work to do to



*ensure our Coast Guard, is focused on the benefits of a diverse workforce, is enhancing an inclusive environment, and is demanding a culture of respect for all. This work will ensure our crews are diverse, technically savvy and ready to meet the needs of our Nation.*

*With competing national priorities and increased fiscal pressures, the Coast Guard must strive for continued innovation and process improvement to stay one step ahead of the complex threats the future holds. Through past performance, the Coast Guard built an exceptional reputation based on mission execution and mission support. One of the common traits of all high performing organizations is the desire for excellence through constant improvement. For the Coast Guard, we must embrace technological change, understand how the maritime transportation system is adapting to increased international dependence, and how our roles established in 1790 are constantly changing. Through workforce development, investment in our infrastructure – cutters, aircraft, buildings and information technology – and development of a organizational culture of change, we must and will find ways to do business better, to ensure our Service is always improving and adaptable to future demands.*

## **B. POTENTIAL CONFLICTS OF INTEREST**

1. *Describe all financial arrangements, deferred compensation agreements, and other continuing dealings with business associates, clients, or customers. Please include information related to retirement accounts.*

*Please see my nominee Public Financial Disclosure Report.*

2. *Do you have any commitments or agreements, formal or informal, to maintain employment, affiliation, or practice with any business, association or other organization during your appointment? If so, please explain.*

*No.*

3. *Indicate any investments, obligations, liabilities, or other relationships which could involve potential conflicts of interest in the position to which you have been nominated.*

*None.*

4. *Describe any business relationship, dealing, or financial transaction which you have had during the last ten years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute or result in a possible conflict of interest in the position to which you have been nominated.*

*None.*

5. *Describe any activity during the past ten years in which you have been engaged for the purpose of directly or indirectly influencing the passage, defeat, or modification of any legislation or affecting the administration and execution of law or public policy.*

*From June 2015 through June 2017, I was assigned as the Chief of the Coast Guard's Congressional and Governmental Affairs Office. In this role, I was the Coast Guard liaison to Congress, overseeing all aspects of our legislative branch interactions. These duties included: coordinating engagements with Congressional members and staffs to provide timely, accurate, and detailed information regarding the Service and its missions; justifying and defending the President's annual budget request for the Coast Guard; and advocating the Coast Guard and Administration's position for pending legislation. These interactions provided Congressional members and staffs the information needed to draft and pass a variety of legislation during this time period.*

6. *Explain how you will resolve any potential conflict of interest, including any that may be disclosed by your responses to the above items.*

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

### **C. LEGAL MATTERS**

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

*No.*

2. *Have you ever been investigated, arrested, charged, or held by any Federal, State, or other law enforcement authority of any Federal, State, county, or municipal entity, other than for a minor traffic offense? If so, please explain.*

*No.*

3. *Have you or any business of which you are or were an officer ever been involved as a party in an administrative agency proceeding or civil litigation? If so, please explain.*

*No.*

4. *Have you ever been convicted (including pleas of guilty or nolo contendere) of any criminal violation other than a minor traffic offense? If so, please explain.*

*No.*

5. *Have you ever been accused, formally or informally, of sexual harassment or discrimination on the basis of sex, race, religion, or any other basis? If so, please explain.*

*No.*

6. *If you ever served as a general court-martial convening authority involving an offense involving sexual misconduct or assault, have you ever disapproved the 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 (never served as GCM convening authority).*

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

*None.*



#### ***D. RELATIONSHIP WITH COMMITTEE***

1. *Will you ensure that your department/agency complies with deadlines for information set by congressional committees?*

*Yes*

2. *Will you ensure that your department/agency does whatever it can to protect congressional witnesses and whistle blowers from reprisal for their testimony and disclosures?*

*Yes*

3. *Will you cooperate in providing the Committee with requested witnesses, including technical experts and career employees, with firsthand knowledge of matters of interest to the Committee?*

*Yes*

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

*Yes*

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

**F. Affidavit**

Thomas G. Allan Jr. 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 24 day of October, 2017.

  
Notary Public

R. SUMITRIA WHITE  
NOTARY PUBLIC DISTRICT OF COLUMBIA  
My Commission Expires January 14, 2018





**Captain Thomas 'Tom' Allan**  
***Executive Assistant to the 25<sup>th</sup> Commandant***  
***United States Coast Guard***



Captain Tom Allan is originally from Collinsville, Illinois and was raised in Bowie, Maryland.

He reported as the Executive Assistant to the 25<sup>th</sup> Commandant following his most recent tour as the Chief, Congressional and Governmental Affairs. As the head of Congressional Affairs, he worked with the 535 members of Congress and the staff of the Coast Guard's oversight committees to create a shared understanding of the Coast Guard's roles, missions, requirements, and legislative priorities.

Throughout his career, Captain Allan was assigned to a variety of operational assignments in locations across the country. In 1990, aboard the 378' high endurance Coast Guard Cutter

HAMILTON, he completed a homeport move from Boston, Massachusetts to San Pedro, California operating throughout the Atlantic and Pacific Oceans. In 1993 he was the Senior Watch Officer at the Coast Guard Intelligence Coordination Center in Suitland, Maryland. In 1996, he served as the Surface Operations Officer at Group/Marine Safety Office Portland, Oregon. In 2004, he was the Deputy Group Commander for Group Charleston, South Carolina and then the Response Department Head for Sector Charleston. In 2012, he was Commander of USCG Sector Jacksonville, serving as the Captain of the Port (COTP), Federal Maritime Security Coordinator (FMSC), Federal On-Scene Coordinator (FOSC), and Search and Rescue Mission Coordinator (SMC) for Northeast Florida. As the Sector Commander, he was responsible for a 30 billion dollar Maritime Transportation System with 3 nationally strategic ports; the world's busiest passenger cruise ship terminals; and one of the nation's top 20 busiest container ports.

During staff tours he filled the professional role as a Coast Guard Financial Manager. His assignments included the Chief of Resources and Requirements Division for the Deployable Operations Group, Ballston, Virginia, and the Chief of the Office of Financial Policy and Programs Division at Coast Guard Headquarters. He also served as the Special Assistant to the 24<sup>th</sup> Commandant of the U.S. Coast Guard.

Captain Allan's awards include the Coast Guard Legion of Merit, the Coast Guard Meritorious Service Medal (four awards); the Coast Guard Commendation Medal (three awards); the Coast Guard Achievement Medal (two awards); and numerous Unit and Service awards.

A 1990 graduate of the U.S. Coast Guard Academy in New London, Connecticut, he received a Bachelor of Science Degree in Management, later earned his Master of Business Administration from the University of Baltimore in Baltimore, Maryland, and recently completed the Massachusetts Institute of Technology Seminar XXI.

Captain Allan is married to the former Kim Mulford from North Stonington, Connecticut and they have four children: Tyler, Amanda, Connor, and Ryan.

Updated: 17AUG2017

**CAPT Thomas G. Allan Jr.**  
**Nominee for Rear Admiral Lower Half**

**Current Assignment**

Jun 17 – Present CG-00, Executive Assistant to the Commandant, CAPT

**Assignment History**

Jul 15 - Jun 17 CG-0921, Chief, Congressional & Governmental Affairs, CAPT  
Jun 12 - Jun 15 Commander, Sector Jacksonville, FL, CAPT  
Apr 10 - May 12 CG-00, Special Assistant to Commandant, CDR/ CAPT  
Jul 07 – Apr 10 DOG (DG-8), Chief, Resources and Requirements Division, CDR  
Jun 05 – Jun 07 Sector Charleston, SC, Response Department Head, CDR  
Jun 04 – May 05 Group Charleston, SC, Deputy Group Commander, LCDR  
Sep 03 – May 04 CG-843, Assistant Chief, Policy and Programs Division, LCDR  
Jun 01 – Aug 03 CG-CFM-3, Chief, Policy and Programs Division, LCDR  
Jul 00 – May 01 University of Baltimore, Student, Financial Management Program, LCDR  
Jul 96 – Jun 00 MSO/GRU Portland, OR, Chief, Surface Operations, LT  
Jul 95 – Jun 96 Intelligence Coordination Center, Chief, Operations Support Division, LT  
Jul 93 – Jun 95 Intelligence Coordination Center, Senior Watch Officer, LTJG  
May 90 – Jun 93 USCGC HAMILTON, Deck Watch Officer, ENS/ LTJG

**Educational Summary**

2016 Massachusetts Institute of Technology (MIT) Seminar XXI  
2001 University of Baltimore, Master of Business Administration in Financial Management,  
4.0 Cumulative GPA  
1990 U.S. Coast Guard Academy, Bachelor of Science in Management, 2.42 Cumulative GPA

**Military Personal Awards and Significant National Recognition or Achievement**

LOM, MSM (4), COM (3), ACH (2)  
2009, American Society of Military Comptrollers Resource Manager Award finalist  
2007, Awarded permanent Boat Forces Operations Insignia  
1995, Director of Military Intelligence Certificate of Achievement

**Significant Current Professional Credentials or Recent Activities**

President, Promotion Year 2017 Lieutenant Commander Selection Board, AUG 2016  
Executive Steering Group, VCG Force Planning Construct Working Group, JUL 2016  
Company Mentor for Victor 192, Training Center Cape May, MAY 2016  
Passage of 2015 Coast Guard Authorization Act, JAN 2016  
Senior Advisor, D7 Strategic WG –Patrol Boat Homeport Study, JUN 2013-JAN 2014  
USCG CG-13, Reserve Policy Board member, MAR 2013  
USCG Project Evergreen, JUN 2011  
24<sup>th</sup> Commandant's Transition Team, JAN – MAY 2010  
International Affairs Reorganization Work Group, 2009  
Commandant's Reorganization Review Team for Forcecom, 2008