

Instructions for 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): Ricky Allen Dearborn. I go by Rick
2. Position to which nominated: Amtrak Board
3. Date of Nomination: June 25, 2018
4. Address (List current place of residence and office addresses): 
5. Date and Place of Birth: July 19, 1965 in Nashville, TN
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). Gina Rhoades Dearborn, Owner of Tucker Consulting LLC (advocacy consulting firm)
7. List all college and graduate degrees. Provide year and school attended.

Bachelor of Arts in Public Administration, University of Oklahoma 1987
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. Deputy Chief of Staff for the President of the United States, Executive Director, the Presidential Transition, Senate Chief of Staff, Assistant Secretary of Congressional Affairs at the Department of Energy, Senate Legislative Director

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. N/A
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. N/A
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. Grace Episcopal Church, Montgomery, AL – Member since 2011
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. N/A
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. 2018 – SC AG Alan Wilson - \$500; Rep. Blaine Luetkemeyer - \$1,000; Rep. Rep. Bill Huizenga -- \$1,000. Campaign Manager 2014 Senate Race – Jeff Sessions of Alabama; Trump Campaign, Washington Office 2016

15. List all scholarships, fellowships, honorary degrees, honorary society memberships, military medals, and any other special recognition for outstanding service or achievements. Secretary of Energy Excellence Award 2004
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.

NAM Speech – Admin Accomplishments – Jan., 2018 – Philadelphia National Waste & Recycling Association – Admin Accomplishments – Feb. 2018; American Iron and Steel Institute – Experience in the WH/Admin Accomplishments – June 2018; RAGA -- Experience in the WH/Admin Accomplishments – June 2018

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. Assistant Secretary Nomination Hearing – Spring of 2003; Senate Energy Committee
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?

During my twenty-four-year career both in the Trump and Bush Administrations and working for six separate U.S. Senators I had the chance to work on transportation authorization legislation each and every year. Further, under Sen. Sessions as both his Legislative Director and his Chief of Staff I worked directly with the Senator and our legislative team on transportation needs for both Alabama and the nation while he served both on the Senate Budget Committee as Ranking Member and as a Member on the Environment and Public Works Committee as well as the Surface Transportation Subcommittee. I've also been an avid passenger on the Northeast Corridor Regional and Acela trains for years, having

travelled several times this year already on the Regional to Stamford, CT, NYC and on the Acela to Philly and NYC.

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 responsibilities would include examining the management and accounting controls put in place by Amtrak's executives. Deciding on and voting on decisions and actions put before me as a Board member, if confirmed. Monitoring the executive staff's financial, management and operational decisions and staying up to date on the best practices relating to all management and accounting standards throughout the rail industry. I would work to incorporate those best practices standards during my term, if confirmed, on the Amtrak Board. I'd be paying particular focus to the new SMS plan and PTC deadlines Amtrak has set as priorities. The Board also plays a key role in hiring the right executives and reviewing their performance.

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

Amtrak's passenger safety must be priority one. Its record must improve in relation to the increased number of recent derailments and accidents on its routes. Amtrak has an obligation to justify its national network of routes and it must modernize its rail infrastructure to remain viable and vibrant, while being mindful of its budget limitations.

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 just retired from federal service on March 16, 2018. My federal pension will start its pull down shortly. I have also just joined a business/government relations consulting and strategic advisory firm and am a senior advisor to a Southeast-based law firm.

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 am an equity partner in an advisory and strategic consulting firm working for business clients and with the federal government.

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. Invested in widely dispersed Mutual Funds. No conflicts that I know of.
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 that I'm aware of.
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. Over the past twenty four years I've worked on numerous pieces of legislation that impacted Amtrak and commercial rail. All of that work was on behalf of either the State of Alabama or the nation.
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 have no conflicts of interest that I know of, but will diligently work to review all contracts, agreements and associations with any entity or individual that would create a conflict a conflict.

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 If yes:
 - a. Provide the name of agency, association, committee, or group;
 - b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;
 - c. Describe the citation, disciplinary action, complaint, or personnel action;
 - d. Provide the results of the citation, disciplinary action, complaint, or personnel action.

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, DUI in college, 1986; College sign removed from campus property, not charged – 1986; Carrying an open container in Old Town, Alexandria, VA – held briefly and released, not charged – 1990. Public disturbance Albemarle, VA, not convicted – 2009.

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. DUI in 1986, college years

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. Never

6. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be disclosed in connection with your nomination. Not that hasn't already been listed.

D. RELATIONSHIP WITH COMMITTEE

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

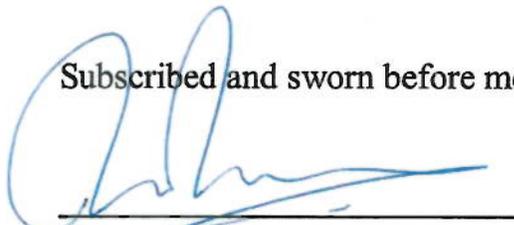
(Nominee is to include this signed affidavit along with answers to the above questions.)

F. Affidavit

Rick A. Dearborn 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

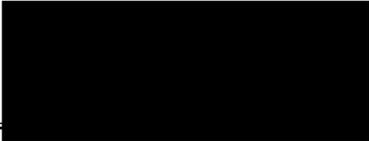
Subscribed and sworn before me this 19th day of July, 2018.


Notary Public



ASIM PAHARI
NOTARY PUBLIC
Commonwealth of Virginia
Expires 02/26/2019
ID #: 7647016

Rick A. Dearborn



EMPLOYMENT

The Cypress Group

April 2018-Present

Partner: Partner in a twenty-person firm that provides strategic consulting, lobbying, and independent research for a broad variety of financial services companies, trades, and funds. Representative clients include: Visa, InterContinental Exchange, Verizon, Hunt, Peabody, Lighthouse, Nomura, Barclays, BNP Paribas, Citi, Wells Fargo, Loews, PWC, Managed Funds Association, and Primerica. Hedge and private equity fund clients are confidential, but typically have over \$4 billion AUM. Formulate comprehensive government relations strategies - particularly for firms in transition - which include: risk/opportunity analysis, resource allocation, personnel review, trade association participation, PR and communications firm retention, PAC formation and management, and think tank interaction.

The President of the United States of America

January 2017-March 2018

Deputy Chief of Staff: Responsible for the day-to-day operations of ~100 staff in five separate Executive Office of the President (EOP) departments - Office of Legislative Affairs, Office of Cabinet Affairs, Office of Political Affairs, Office of Public Liaison and the Office of Intergovernmental Affairs. In addition to managing each of the outward facing offices of the White House, a main function of implementing the President's policies is achieved by active participation in Principal Committee meetings with the policy shops inside the EOP - NEC, NSC and DPC. Strategic planning and implementation on all policy fronts with each of these councils and all EOP departments managed remains both a daily and longer-term function.

President-Elect Transition Team

November 2016-January 2017

Executive Director: Managed all aspects of the President-Elect's Transition team efforts. Daily responsibility included the direction and management of the core components of the Transition Team's 400+ member Departments - Agency Action, Presidential Appointments, Policy Implementation and President-Elect Support. Led Cabinet selection efforts, policy development for guidance and pass off to WH policy councils for day one action, landing team and beachhead team development for all major Departments and Agencies and all preparations and support efforts for the President-Elect, First Lady, their family and the senior EOP team.

U.S. Senator Jeff Sessions

January 2005-January 2017

Chief of Staff/State Director: Directly managed sixty-person office/operation in Washington, D.C. and all state staff in six Alabama offices. Directly responsible for all policy/legislative matters, press, budgeting, and staffing. Managed campaign operations including press operations during Senator Session's reelection in the 2014 election cycle. Extensive interface with state/local elected officials, all state/national business interests, advocacy interests, and constituent interactions.

United States Department of Energy

March 2003-December 2004

Assistant Secretary of Congressional Affairs: Led all Congressional, Intergovernmental and tribal government outreach efforts on behalf of the Secretary. Advanced the policy priorities of the President and Department on Capitol Hill. Advised each subcabinet department and developed legislative strategies to advance each department's policy priorities. Held the first Tribal Energy Summit by the Department. Advanced the foundation of support for the Energy Policy Act of 2005, major components were drafted in 2004, reintroduced and passed in August of 2005.

U.S. Senator Jeff Sessions

January 1997- March 2003

Legislative Director: Developed, organized and implemented all aspects of the Senator's legislative operation. Advised Senator on all roll call votes, cosponsorships, and legislative priorities. Drafted legislation and developed Committee and floor strategies for same. Passed over 40 pieces of legislation. Managed entire legislative staff and maintained a professional and cooperative work environment with little staff turnover. Maintained a strong network of contacts with industry, public policy, and advocacy groups. Approved all correspondence and floor/committee statements. Advised Senator on matters in his committees. Sen. Sessions' committees: Senate Armed Services Committee (Chairman, Airland); Senate Judiciary Committee (Chairman, Admin. Oversight and the Courts); Senate Health, Education, Labor and Pensions; Senate Budget Committee; Joint Economic Cmte. Also, the Senate Environment and Public Works Committee (1997-1999).

Senate Steering Committee:**July 1996- December 1996****Chairman, Senator Kay Bailey Hutchison**

Executive Director: Served as the Chairman's director of strategy and floor operations. Orchestrated multiple Special Orders on the Senate Floor to highlight a more conservative policy agenda. Worked with the Senate Republican leadership, Steering Committee Senators, Committee staff and personal office staff to advance the Steering Committee's policy agenda and provide the Senate Republican leadership with alternative conservative legislative proposals on a variety of policy issues. Promoting a more conservative Judiciary was a key focus of the Steering Committee during this period.

The American Medical Association**May 1996- July 1996****Congressional Affairs**

Assistant Director: Liaison between the national organization and Capitol Hill. Focused on communicating organized medicine's legislative priorities to the Senate Leadership, Senate Finance and Labor Committees. Specific responsibilities included negotiating with Members and staff on patenting of medical procedures, telemedicine and patient confidentiality, maternity stay legislation and antitrust issues. Worked to target the AMA's political action committee's (AMPAC) focus on incumbents and challengers supportive of organized medicine.

The Heritage Foundation**June 1993- May 1996**

Director, Congressional Relations, U.S. Senate: Served as the Senate liaison for The Heritage Foundation to all Senate offices on Capitol Hill. Coordinated with more than 40 policy analysts to develop, package and market their policy alternatives for Senate sponsorship. Worked extensively with the Senate Commerce Committee staff and Heritage analysts to develop comprehensive Telecommunications legislation. Developed and coordinated with Heritage analysts, the Senate Finance Committee staff and key Senate offices, legislative language for inclusion in the 1996 Welfare Reform bill. Provided multiple briefings on domestic and foreign policy for key Senators and their staff. Also, assisted Heritage public relations department in coordination of editorials and letters to the editor for Senate offices on targeted issues.

Senate Republican Conference Secretary:**January 1991- May 1993****Secretary, Senator Trent Lott (November 1992- May 1993)****Secretary, Senator Bob Kasten (January 1991- November 1992)**

Deputy Director: Responsible for day-to-day operations of Senate Leadership offices for Senators Trent Lott and Bob Kasten. Established working relationship with the six Senate Republican Leadership offices, the Republican National Committee, the National Republican Senatorial Committee, the National Republican Congressional Committee and 44 Senate Republican personal offices. Created and disseminated the Interest Group Review reports, developed internally. Provided daily and weekly national polling data and voting attendance reports for all Senate Republican offices. Separately, developed anti-crime bills for both Senators Lott and Kasten. These bills had two primary provisions focusing on rural crime and crimes against seniors. Developed all press strategies for the legislation and traveled with Senator Kasten throughout the state of Wisconsin to promote his bill in town halls and with law enforcement officials. This legislation was adopted by the U.S. Senate in 1994. Served as Director of Coalitions on the Kasten for Senate campaign in late summer/fall of 1992.

National Republican Senatorial Committee**March 1988- December 1990**

Senior Legislative Analyst: Began in the finance division in 1988 working on low donor direct mail. Worked to develop written responses for direct mail operations. Promoted to political division in late 1988. Served as the NRSC's legislative analyst, researching and tracking roll call votes on legislation for use in campaign media development. Created strategies for paid and earned media opportunities for over 15 targeted Senate campaigns. Sent to Iowa in October of 1990 to help direct campaign field work and GOTV efforts for Congressman Tom Tauke's Senate campaign.

EDUCATION

Bachelor of Arts in Public Administration/Economics
University of Oklahoma, Norman, Oklahoma

December 1987

Semester program on Foreign Policy & International Affairs
American University, Washington, D.C.

Fall 1986

References -- Available upon request