

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

1. Name:

Keith Merrill Smith

2. Position to which nominated:

Rear Admiral Upper Half (08)

3. Date of Nomination: October 23, 2017

4. Address:



5. Date and Place of Birth:

June 17, 1961, Lakewood California

6. Provide the name, position, and place of employment for your spouse (if married) and the names and ages of your children:

Spouse: Victoria Lynn Smith
Son: Tanner Munro Smith, 26
Daughter: Samantha Christine Smith, 24

7. List all college and graduate degrees.

American Military University, Master of Science in Homeland Security 2012
Long Beach State University, Bachelor of Science in Criminal Justice, 1992
Associate of Arts, Liberal Arts, University of Alaska, 1986

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.

I have served as a Coast Guard officer since July 1987. Please see my official Coast Guard biography for detailed information.

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.

None.

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.

Distinguished Service Medal (2017)

Legion of Merit (2015)

Defense Meritorious Service Medal (2000)

Seven USCG Meritorious Service Medals (1998-2013)

Recipient of the Witherspoon Inspirational Leadership 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.

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?

- I have been a member of the U.S. Coast Guard since January 1981 when I enlisted. Throughout my career, I have held a wide array of positions in both the enlisted and officer ranks and have participated in countless national level operations covering a wide array of mission areas. During these 35+ years I have continued to learn and grow as both an officer and leader and have gained an appreciation for how the Coast Guard's unique capabilities and authorities can assist the Department of Homeland Security and our national leaders in meeting the growing demands and challenges that confront our nation.
- Since the attacks of 9/11, I have been at the forefront of the Coast Guard's and the Department's mission to combat terrorist organizations and to protect the homeland. I was selected to serve as the first Commanding Officer of the Maritime Safety & Security Team (MSST) that was commissioned in Los Angeles in 2002. This unit was established as an Anti-Terrorism Unit designed to protect the nation's critical ports against maritime threats. Additionally I served on the Atlantic Area Commander's staff to manage the Deployable Specialized Forces (DSF) and then was selected to help commission and serve on the staff of the Deployable Operations Group in 2007. This unit was established to better manage and ensure the readiness of all the DSFs throughout the nation.
- I assumed command of the Coast Guard's Maritime Security Response Team (MSRT) in 2008, which serves as the Coast Guard's only Counter Terrorism Unit. During this period I worked to increase the unit's readiness and identify better ways to employ this unique capability. I also served in senior leadership positions in the Fifth Coast Guard District, which enabled me to oversee key interagency operations in the National Capital Region and then was selected as the Atlantic Area Chief of Staff. In this capacity I was exposed to and dealt with a wide array of key leadership issues that enabled me to grow and understand the significant challenges that face the Coast Guard, the Department of Homeland Security, and our national leaders.
- My previous flag assignment was as the Director of Joint Interagency Task Force (JIATF) West. In that capacity, I served as the Executive Agent for counter narcotics activities throughout the Indo-Asia Pacific Region. In this capacity, I work daily with leaders from the DOD, the interagency (including DOJ, DOS and DHS), and key International Partners to stem the flow of illicit drugs and chemicals, improve cooperation, and enhance maritime security throughout this region that includes 36

nations and 16 time zones. This serves as my second assignment in my career at a JIATF and my 4th assignment dedicated to the Counter narcotics mission.

- My diverse background as a former enlisted member and strong focus on anti/counter terrorism and counter narcotics missions, coupled with my various operational and key management leadership positions will bring a unique perspective that will continue to assist the Coast Guard and the Department in meeting the current and future challenges.
- Currently I serve as the Commander of the Coast Guard's Force Readiness Command (FORCECOM). FORCECOM is responsible for ensuring a mission ready workforce for the Coast Guard. The FORCECOM team, consisting of nearly 3,000 geographically dispersed, active duty, reserve and civilians has an impact on every Coast Guard mission, every unit, every enlisted member, and every officer during the course of their career. This includes overseeing Officer Candidate School, Basic Training, all Class "A" and "C" Schools, Chief Petty Officer Academy, Flight School, and all Graduate School Programs. Through consistent delivery of relevant, standardized training, leadership development, support of major exercises, readiness and standardization assessments, and development of Tactics, Techniques and Procedures, Force Readiness Command enables mission success by providing professional people, quality products and exceptional services to operational commanders. I feel my nearly 37 years of service, both as an Officer and enlisted, my diverse operational career, and my leadership/management experience have trained me well for this assignment. I am excited for the opportunity to serve in this position and to have the ability to influence the Coast Guard in such an important and profound manner.

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?

- The budget will continue to be a challenge as our country's leader's work to reduce the crippling effects of the national deficit while continuing to provide appropriate funding to our Military. My role will be to ensure that the Coast Guard resources and personnel are used efficiently and effectively while meeting the goals and objectives of the Commandant of the Coast Guard and the Department of Homeland Security.
- With an organization comprised of 42,000 active duty members and with the demands on this workforce continually increasing, we need to continue to improve our processes and work smarter in the way that we ensure the readiness of our workforce but also how we meet all mission requirements. Some of this can be accomplished through internal controls within the Coast Guard. This process is already underway and I have been involved as we ensure we maximize our resources and personnel.
- However, to achieve the type of savings required to meet the requirements and the overall the intent of the Budget Control Act will demand that we work more effectively with all organizations. This will need to extend beyond the Department of Homeland Security and include all agencies from within the Federal Government. Identifying areas where we can

delete duplication within organizations without diminishing mission performance or overall readiness will be an essential element in meeting this challenge.

- In my previous position as the Director of JIATF West required routinely engagements/interactions with Department of State, Department of Defense, Department of Justice and Department of Homeland Security representatives to address new and evolving challenges. This “whole of government” approach to solving complex problems and maximizing limited resources will serve me well in future Coast Guard assignments. Additionally, as a Commanding Officer of three units along with serving in key leadership staff positions will also assist me in helping the organization address these management and accounting control challenges. Finally, while serving as the Chief of Staff for the Atlantic Area Commander, I was exposed to significant leadership challenges facing the Coast Guard, the Department of Homeland Security, and our national leaders. I worked with the Coast Guard leadership in addressing key issues and working solutions to better manage Coast Guard Resources and personnel. I believe that this exposure, coupled with my 30 + years of service to the Coast Guard provides me with a unique perspective that will enable me to assist our organization in addressing critical issues and ensuring proper oversight and control.
- As the FORCECOM Commander, ensuring that the Coast Guard continues to recruit, train, and retain the best workforce along with maintaining overall service wide readiness are my top enduring priorities. As the other four armed services are struggling to meet their recruiting goals, it’s critical that the Coast Guard continues to be an employer of choice for our young workforce. Although we need to improve in our numbers of underrepresented minorities, the Coast Guard continues to meet recruitment goals. Additionally, maintaining readiness of the World’s Best Coast Guard continues to be a struggle as our ships, planes, and helicopters have become more technical and costly to operate. We need to invest more in the training of our people who are charged with operating and maintaining these highly technical platforms. This is difficult when our budget remains flat and the cost to operate these new platforms is much higher than anticipated. We need to invest more in our people!

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

- a. The amount of illicit drugs entering the country is a cancer that has the potential to seriously jeopardize the safety of our citizens, challenge the effectiveness of our nation’s key institutions, create an economic burden that will defer critical funds from other national priorities, and empower Transnational Criminal Organizations who gain money and power through the drug trade and will create national security challenges as their influence expands. If that is not bad enough, the situation is projected to get worse in the coming year(s) as Cocaine production is projected to increase, Heroin and Fentanyl continue to get cheaper and more potent while gaining popularity among users in the U.S., and Methamphetamine production continues to increase as precursor chemicals from china flow into Mexico and South/Central America. I truly believe this is one of the most significant challenges facing our nation. We can no longer simply seize drugs or arrest traffickers while ignoring those who use the product as we try and solve this national crisis. We need a “True” whole

of government approach that starts at the federal level and includes working seamlessly with DOD, DHS DOS, and DOJ and effectively uses all the tools in the federal government arsenal and focuses on truly going after and eliminating the organizations behind the illicit drug trade. Although coordination has improved since 9/11, we need to continue to remove stove pipes within the federal agencies that continue inhibit true collaboration and limit overall effectiveness. If we, the Federal Government fail to address this issue, I fear that we will lose the trust and confidence of the American people who look to their government to address these types of issues.

- b. Effectively securing the southern land and maritime borders is the first challenge I will address. Until we can effectively secure our southern border we as a nation are vulnerable and susceptible to various types of law enforcement and terrorist threats. Securing our southern border is clearly an enormous undertaking that has proven difficult to obtain. Although the number of migrants and unaccompanied minors entering the country has decreased significantly in the last 12 months the amount of drugs from South and Central America entering this country from the southwest border highlights this challenge and how other nations and/or organizations will try and exploit this vulnerability. We are dedicating considerable personnel, resources and funding to deal with this challenging situation. Add to this the maritime illegal migrant activity into the United States primarily from Cuba and Haiti as well as the influx of illegal drugs from South and Central America. Collectively these activities can create a significant threat to our national security and we need to remain focused on countering these activities.
- c. Cyber Security is a growing threat to our national security and specifically to the Maritime Transportation System (MTS). With over 90% of goods being transported into and out of the United States by ships, it's critical that we keep the MTS operating effectively and free from attacks. If the MTS is seriously infected by a cyber attack the impact on our nation's GNP will be significant.

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 PFDR.

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

None.

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.

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.

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.

I was a Responsible Management Official for a formal EEO complaint that was filed against Joint Interagency Task Force West in March 2016. That complaint has been investigated and the complainant has sought a hearing before the Equal Employment Opportunity Commission. The complaint pertaining to me stems from another employee's complaint that the complainant created a hostile work environment and also from a reorganization I conducted at JIATF West that involved redesigning our directorates and physically moving more than 100 personnel. As part of the settlement that resolved the hostile work environment complaint, I agreed to place the employee who alleged that the complainant created a hostile work environment under the supervision of a staff member other than the complainant. The complainant also alleged that she was prevented from participating in certain working groups relating to the reorganization and that she was moved to a smaller office. The working groups were low level and did not include any of the complainant's peers, although I did separately consult complainant and her fellow Assistant Chiefs of Staff and implemented several of her recommendations. Regarding the office space, the complainant's directorate moved to a different building and she was given the largest office in the new building.

In 2007, a former subordinate, a male officer of Hispanic descent, filed a formal complaint alleging discrimination. The complaint alleged that I, and another non-Hispanic officer who had earlier supervised the subordinate, marked him lower on his officer evaluations than we

had marked his non-Hispanic colleagues, and, as a result, he was not selected for promotion to the rank of Commander while his peers were. After a full investigation, a Final Agency Decision in 2010 concluded that the evidence did not establish discrimination and denied him relief. While the complaint was pending, and independent of it, the officer was selected for Commander at the next promotion board after his non-selection.

6. If you ever served as a general court-martial convening authority involving an offense involving sexual misconduct or assault, have you ever disapproved the findings of a court-martial related to the offense(s) or reduced the sentence adjudged by a court-martial, other than in connection with a pre-trial agreement?

No.

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

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

KEITH M SMITH 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.

Keith M. Sull

Signature of Nominee

Subscribed and sworn before me this 15th day of November, 2017.

Jenifer L. Purcell
Notary Public





Rear Admiral Keith M. Smith

Commander, Force Readiness Command
U.S. Coast Guard



Rear Admiral Smith assumed the responsibilities as Commander of Coast Guard Force Readiness Command (FORCECOM) in April 2017. FORCECOM supports readiness for operational commanders through training, leadership development, readiness assessments, major exercise support and tactics, techniques and procedures.

Prior to his assignment as the FORCECOM Commander, Rear Admiral Smith served as the Director, Joint Interagency Task Force West (JIATF West). As Director, he executed Department of Defense counterdrug activities, defended the Homeland and stabilized the theater by hardening the environment against the growth of transnational crime and disrupting transnational criminal organizations that threatened U.S. interests.

Rear Admiral Smith previously served as the Coast Guard Atlantic Area Chief of Staff from April 2013 to April 2015. He also served as the Fifth Coast Guard District's Chief of Response and Chief of Incident Management from July 2011 to April 2013.

Rear Admiral Smith has extensive operational experience with a specialty in tactical law enforcement and Port/Homeland Security Operations. During his 36-year career, he served as a Law Enforcement Detachment (LEDET) Office in Charge, Operations Officer of Group Woods Hole, Massachusetts, Commanding Officer of Tactical Law Enforcement Team (TACLET) North, Chief of the Tactical Intelligence Section at JIATF East, Deputy Group Commander in St. Petersburg, Florida and plank owner Commanding Officer for Maritime Safety and Security Team (MSST) Los Angeles/Long Beach. Rear Admiral Smith also served as Deputy Operations Officer for the Deployable Operations Group (DOG) and Commanding Officer of the Maritime Security Response Team (MSRT), the Coast Guard's only counter terrorism unit.

His personal Awards include the Armed Forces Service Medal, Defense Meritorious Service Medal, six Meritorious Service Medals, Global War on Terror Service Medal, two Coast Guard Commendation Medals, and two Coast Guard Achievement Medals.

Rear Admiral Smith is a native of Cypress California, enlisted in the Coast Guard in September 1980, and served as an air crewman on both HH-3F helicopters and C-130 aircraft before receiving his commission in 1987.

A graduate of California State University Long Beach, Rear Admiral Smith holds a Bachelor's Degree in Criminal Justice and Master's degree in Homeland Security.

REAR ADMIRAL Keith M. Smith

Current Assignment

April 2017 – present

Commander, Force Readiness Command (FORCECOM)

Assignment History

May 2015 – March 2017	Director, Joint Interagency Task Force West
May 2013 – May 2015	Chief of Staff, Coast Guard Atlantic Area
Apr 2012 – May 2013	Chief of Response, Fifth Coast Guard District
Jun 2011 – Apr 2012	Chief Incident Management, Fifth Coast Guard District
May 2008 – Jun 2011	Commanding Officer, Maritime Security Response Team
May 2007 – May 2008	Deputy Operations Officer, Deployable Operations Group
Jul 2004 – May 2007	Chief Port Security Branch, Coast guard Atlantic Area
Jun 2002 – Jun 2004	Commanding Officer, Maritime Safety and Security Team 91103
Jun 2000 – Jun 2002	Deputy Group Commander, Coast Guard Group St. Petersburg
Jun 1998 – Jun 2000	Senior Intel Watch Officer, Joint Interagency Task Force East
Jun 1995 – Jun 1998	Commanding Officer, Tactical Law Enforcement Team North
Jun 1992 – Jun 1995	Operations Officer, Group Woods Hole
Jun 1989 – Jun 1992	Deputy Director of Auxiliary, Eleventh Coast Guard District
Jul 1987 – Jun 1989	Law Enforcement/Assistant Operations Officer, Group Galveston
Jan 1987 – Jul 1987	Officer Candidate School

Educational Summary

1984 – 1986	University of Alaska, Associate Arts
1989 – 1982	California State Long Beach, Bachelor of Science Criminal Justice
2010 – 2012	American Military University, Master of Arts Homeland Security

Military Personal Awards and Significant National Recognition or Achievement

1998-2013	Seven USCG Meritorious Service Medals
2000	Defense Meritorious Service Medal
2004	Coast Guard John Witherspoon Award Recipient
2015	Legion of Merit
2017	Distinguished Service Medal

Significant Current Professional Credentials or Recent Activities

NSTR