

Senate Commerce Committee Coast Guard Nominee Questionnaire, 116th 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):

Laura Marie Dickey

2. Position to which nominated: Rear Admiral, Upper Half

3. Date of Nomination:

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

████████████████████████████████████████

(office)

U.S. Northern Command (NCJ3D)
250 Vandenberg St., Ste B016
Peterson AFB, CO 80914-3817

5. Date and Place of Birth: August 10, 1968; Wilmington, North Carolina

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).

None.

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

M.A. – National Security & Strategic Studies – U.S. Naval War College - 2012
J.D. – University of North Carolina at Chapel Hill School of Law – 2002
B.S. – Government – U.S. Coast Guard Academy - 1990

8. List all post-undergraduate employment, and highlight all management-level jobs held and any non-managerial jobs that relate to the position for which you are nominated.

I have served as a Coast Guard officer since May 23, 1990. 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 ten 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 ten years.

- Co-Trustee – Thomas R. Dickey Revocable Trust – Nov. 27, 2015 to Present.
- Member-Manager as a Co-Trustee, JTD Waterway, LLC – Feb. 2016 to Present.
- Member-Manager as a Co-Trustee, JTD Properties, LLC – Feb. 2016 to Present.
- Member-Manager as a Co-Trustee, JTD IWYC, LLC – Feb. 2016 to Present.
- Member- Manager as a Co-Trustee, JTD Marine, LLC – Feb. 2016 ot Present.

(These four LLCs consist of rental properites and cash assets and are owned by the Trust, which is a family trust. My mother, sister, and I became co-trustess upon the death of my father, Thomas R. Dickey, previously the sole trustee, in November 2015.)

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.

Member, North Carolina State Bar, 2002-Present

Member, North Carolina Bar Association, 2002-2018

Member, U.S. Coast Guard Academy Alumni Association, 1990-Present

Member, Univ. of North Carolina General Alumni Association, 2002-Present

Member, The Naval War College Foundation, 2012-Present

Member, The Rams Club, Chapel Hill, NC, 2001-Present

Member, Airlie Yacht Club, Inc., Wilmington, NC, 2006-Present

Member, Inlet Watch Yacht Club, Inc., Wilmington, NC, 1990-Present

President, Puget Sound Cuttermen's Association, Seattle, WA, 2012-2014

None of these organizations restricts membership on the basis of sex, race, color, religion, national origin, age, or disability.

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. 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.

None.

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.

None.

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

Defense Superior Service Medal
Legion of Merit
Meritorious Service Medal (4)
Coast Guard Commendation Medal (3)
Coast Guard Achievement Medal (2)
National Defense Service Medal (2)
Humanitarian Service Medal
Global War on Terrorism Expeditionary Medal
Global War on Terrorism Service Medal
Various military unit awards
Vice Presidential Service Badge

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.

None.

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 – www.facebook.com/laura.dickey - active

Instagram – [Instagram.com/uscga90](https://www.instagram.com/uscga90) - active

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.

None.

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 commissioned officer with more than 29 years of service (and as a flag officer for the past year), I have had the privilege and opportunity to serve in a wide variety of assignments across the tactical, operational, and strategic spectrum. I believe the breadth of these experiences, as well as the leadership skills I have gained from them, make me qualified for continued service as a more senior Coast Guard flag officer. The majority of my experience has been in the operations afloat community; of my twelve years of sea time, I spent six of them in command. I have performed Coast Guard missions in the vast majority of our geographic maritime locations, with service in the Atlantic, Pacific, Gulf of Mexico, Caribbean, and Arctic. My staff positions are equally broad, and include service as the Deputy Director of Operations for the DoD’s U.S. Northern Command, as the Chief of Staff for the 17th Coast Guard District responsible for all Coast Guard operations in Alaska and the Arctic, as part of the Vice President’s national security affairs team, as the Coast Guard’s liaison to the Senate, as second in command of Coast Guard’s Patrol Forces Southwest Asia based out of the Kingdom of Bahrain, and as an attorney practicing operational law and military justice.

I understand and value the Coast Guard’s relationship with the Executive and Legislative branches and interagency partners. I was born into the Coast Guard as the

daughter of a career Coast Guard officer and have spent my entire life affiliated with the Coast Guard. I am passionate about the Coast Guard, its members, and our missions and I am honored to have the opportunity to continue to serve at its highest levels. I look forward to contributing to sustaining and improving mission execution on behalf of the American people.

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 Coast Guard flag officer, I have a duty to operate ethically and within Departmental and Service budget policies and controls to ensure mission performance in a fiscally prudent manner. As a senior leader, I am charged with an even higher responsibility for ensuring proper resource stewardship through my own actions and by those under my charge. Close adherence to fiscal regulations and policies, particularly in a constrained budget environment, is imperative. As a flag officer, I have been responsible for coordinating operations at one of the DoD's Geographic Combatant Commands in support of Homeland Defense, Defense Support of Civil Authorities, and Theater Security Cooperation missions, to include strategic and operational planning for the employment of thousands of DoD personnel within strict legal and budgetary constraints. In my recent position as the Chief of Staff of the 17th Coast Guard District, I was responsible for the leadership, management, and administration of more than 1800 military, civilian, and Auxiliary personnel, and directly supervised a staff of 120. Additionally, I oversaw the budget formulation and execution of \$36M in support of Coast Guard operations throughout the district.

As the Coast Guard's Senate Liaison, I developed an understanding of the Coast Guard's budget and acquisitions programs and the responsibility we have to work within our authorizations and appropriations. I have served as a Commanding Officer or Executive Officer of six Coast Guard units, where I was responsible for the leadership and management of all personnel, operations, and budget execution.

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

I believe there are a number of challenges facing the Coast Guard, the most pressing of which include:

1. **Workforce Recruitment and Retention:** The Coast Guard is best served by a diverse, experienced, proficient, motivated and educated workforce. Recruiting the right workforce is challenged by an improving economy and by the changing attitudes of younger generations towards employment. Gone are the days of a generation that stayed with one employer for a career with a pension at retirement. Today's Millennial generation is a talented yet more transient workforce, apt to change employers and careers more frequently. The new Blended Retirement System provides incentives to join but may also provide an incentive for members to depart

the service earlier as they will now have something to take with them before they would have been vested with full retirement benefits. This may create a situation where there is a depletion of high performing members, leading to rapid advancements for those that remain, resulting in lower proficiency levels and increased training costs. Likewise, initiatives designed to provide benefits such as education and credentialing may have the unintended consequence of helping to prepare members to leave the service for other careers. The Coast Guard has been making great strides regarding benefits to help improve retention. I believe a retention strategy also needs to be created that is focused on job satisfaction and pride, making the Coast Guard the preferred employer.

2. Changing Domains: The Coast Guard is facing the need to perform its traditional missions across expanding and new domains without significant expansion of assets or personnel. Successes in counternarcotics operations as part of our Western Hemisphere Strategy have been the result of a surge of cutters and aircraft that may not be sustainable or may be at the expense of other operations and locations. Likewise, narco-traffickers continue to develop new methods and expand the types of illicit cargos they attempt to bring into our country and the areas in which they operate. Emerging cyber domain needs will demand significant resources, technology, expertise, and effective partnerships both across the interagency as well as with the maritime public. The Arctic presents a changing environment and an expanding domain for Coast Guard operations. The growth of maritime traffic, increased natural resource exploration and extraction, sovereignty concerns, and the need for international cooperation and coordination demand a Coast Guard that can operate effectively and efficiently in an extreme environment. The demand for Coast Guard activities will increase globally in support of national security objectives, and in response to the changing global economy. While the Coast Guard is working to finish recapitalizing its major operational assets, optimizing strategic placement of these assets will be key and their employment must be analyzed using a risk based approach to make best use of limited resources.

3. Readiness and resourcing: The Coast Guard is in demand more than ever before, not only through our traditional missions but in the support we may be asked to provide to other federal agencies, the Department of Defense, and international partners across a diverse spectrum of tasks. The Coast Guard workforce must be prepared to meet contingencies whether it be disasters or homeland defense requirements. Expanding the skillset of the workforce to be prepared to operate across numerous missions will be essential. The Coast Guard must prioritize its limited resources while envisioning and preparing for the future. As the Coast Guard expands operationally, the need to support operational forces increases as well. Aging infrastructure, exposure to destructive weather such as hurricanes, and changing requirements to meet the needs of new assets create additional strains on limited maintenance, acquisition, and support budgets. Leveraging new technologies will be critical to maintain pace with today's world. A holistic approach to mission support to cover not only the asset but the people who operate them as well as the infrastructure which supports them (piers, housing, care for personnel and

dependents) is essential. Efficiency and long term vision in mission support are imperative to prevent support demands from consuming budgets needed for operations. Leveraging partnerships across the whole of government, to include federal, state, local, tribal and international will be essential to help balance the demand for Coast Guard support and taskings.

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 (PFDR). I am a co-trustee, along with my mother and sister, of the Thomas R. Dickey Revocable Trust, a family trust. The trust contains several bank accounts, mutual funds, stock, an IRA with mutual funds, and four Limited Liability Companies (the LLCs hold cash assets and rental properties in the form of a condo unit, single family residence, and boat slips). As a co-trustee, I am a member-manager of the four LLCs. I have a fiduciary duty to manage trust holdings responsibly in accordance with the trust instrument, but I do not receive any compensation or income. Income is paid out annually for the benefit of my mother. Upon the death of my mother, any trust assets remaining will be divided equally between my sister and me as per the trust instrument. I have received written ethics advice from a Coast Guard ethics attorney and will follow that advice.

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 a co-trustee, along with my mother and sister, of the Thomas R. Dickey Revocable Trust, a family trust. The trust contains several bank accounts, mutual funds, stock, an IRA with mutual funds, and four Limited Liability Companies (the LLCs hold cash assets and rental properties in the form of a condo unit, single family residence, and boat slips). As a co-trustee, I am a member-manager of the four LLCs. I have a fiduciary duty to manage trust holdings responsibly in accordance with the trust instrument, but I do not receive any compensation or income.

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.

None. If there should be any potential conflicts of interest regarding the holdings of the trust noted in the response to question 1 or in my role as co-trustee, I will seek the advice of a Coast Guard ethics official and will follow that advice.

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.

None. If a potential conflict of interest arises, I will seek the advice of a Coast Guard ethics official and will follow that advice.

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

None. I will obtain advice from a Coast Guard ethics official and follow that advice.

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.

From 2009-2011, I served as the Coast Guard's liaison to the U.S. Senate. As part of my duties, I worked closely with Congressional staff and Coast Guard leadership to respond to Congressional questions about Coast Guard activities, budget, and policies. I prepared Coast Guard witnesses for Congressional hearings and briefings on a variety of operational, legislative, regulatory, and budget topics, to include the Coast Guard Authorization bill and the Homeland Security Appropriations bill as it pertained to the Coast Guard. From 2014-2016, I served an assignment as the Special Advisor for Homeland Security, Counterterrorism, and Africa to Vice President Biden. As part of the Vice President's National Security Affairs staff, I worked with the National Security Council staff and briefed the Vice President, his National Security Advisor, and his Deputy National Security Advisor on national and international issues for their awareness and decision-making in furtherance of Administration positions.

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:
 - 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.

No.

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

No.

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

No.

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

No.

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

In May 2017, a civilian employee who I supervised submitted a complaint alleging that she was the subject of harassment based on age and disability, and retaliation for sick leave requests. I never declined a leave request, but frequent absences prompted me to issue a "Letter of Requirements" explaining how to request leave consistent with Coast Guard policy and the Family and Medical Leave Act. The complaint named me and the entire front office staff. A senior officer outside my chain of command serving as the Preliminary Investigating Officer found the allegations to be unsubstantiated. The District Commander concurred and closed the matter. The employee could have filed an employee grievance or an EO complaint but did not.

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, 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.

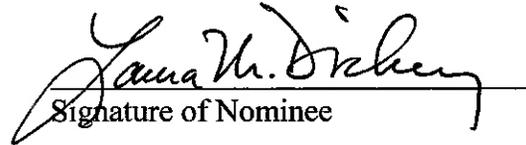
4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so?

Yes.

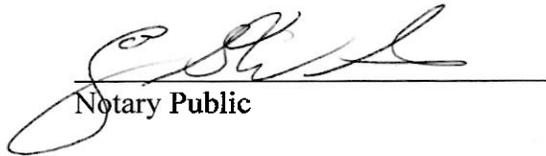
(Nominee is to include this signed affidavit along with answers to the above questions.)

F. AFFIDAVIT

Laura M. Dickey 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 January, 2020.


Notary Public

