

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):

Andrew Mio Sugimoto

2. Position to which nominated:

Rear Admiral Lower Half

3. Date of Nomination:

30 January 2019

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

  
Office: New Orleans LA 70130

5. Date and Place of Birth:

August 23, 1967 in Redondo Beach, CA

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).

Laurel "Lori" Sugimoto works at WaiverKing as an independent contractor. Works out of our residence.

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

United States Coast Guard Academy, Bachelor's of Science in Government.  
Graduated in 1990

University of San Diego School of Law, Juris Doctor. Graduated in 2002

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.

My Coast Guard assignment history is attached. I have not been employed outside the Coast Guard post-undergraduate.

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.

I have not held any such positions.

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.

I have not held any such positions.

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.*

1985 – Present: Coast Guard Academy Alumni Association  
2002 - Present: University of San Diego Alumni Association  
2002 – Present: Member of the California Bar Association  
2015 - Present: Surface Navy Association – Lifetime member

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.

None

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.

“Honorary Chief Petty Officer”

Meritorious Service Medals (5)

Commendation Medal (3)

Achievement Medal (4)

Commandant’s Letter of Commendation

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 28 years of active duty service in the Coast Guard with very broad operational experience and extensive work in the interagency, with the maritime industry and in joint services assignments. I have held command afloat three times, and have prosecuted all Coast Guard missions, both prevention and response; including responses to hurricanes, earthquakes and major oil and hazardous material spills. Most recently I have completed an assignment in which I was responsible for oversight of safety, security and environmental stewardship of the entire Gulf coast. I understand the critical and unique role the Coast Guard plays in protecting our nation from all threats that may come via our oceans and waterways, protecting those who serve on the oceans and waterways, and protecting those oceans and waterways themselves.

I’m excited to serve as a Flag officer in the world’s greatest Coast Guard because I’m committed to our missions, I believe we bring tremendous value to the American people

with global reach and local impact, and I want to be in a position to provide the men and women of the U.S. Coast Guard the leadership, support and tools they need to excel personally and professionally.

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?

Every leader in the Coast Guard is duty bound to be great stewards of our national resources in carrying out our duties. It is part of our organizational DNA to always achieve as much as we can with the resources we are given, and I have extensive experience at the strategic and tactical levels doing just that. I believe that it is my responsibility as a Coast Guard Flag officer to ensure that we continue to allocate resources based on rigorous assessment of risks and benefits, that we have in place systems and processes to track, account for and allocate resources, and that we hold leaders at all levels accountable to use those systems and processes. As a Coast Guard District Chief of Staff I managed an organization with over 10000 employees, and \$48 million operating budget. As I Commanding Officer of a ship, I was responsible for the stewardship of the asset and people wherever I was in the world. In each case I used business planning processes to set clear expectations for resources allocation and performance results, and Coast Guard standard systems to track progress and results.

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

Three of the greatest challenges facing the Coast Guard today are; balancing the need to recapitalize aging infrastructure with the need for continued daily operational excellence in the face of an ever increasing demand for our service and flat or declining budgets; implementing an enterprise wide knowledge management solution; and eradicating sexual assault and harassment from our service.

Like all Federal agencies, the Coast Guard is focused on realizing every possible efficiency in the course of our daily operations that are so vital to national security, economic prosperity and environmental stewardship. Unlike many agencies, however, the Coast Guard relies on a large, diversified and distributed physical property and capital asset portfolio to accomplish our missions. Many of our cutters and aircraft, and much of our shore infrastructure are aging and must be recapitalized. Our boats, communications systems and enterprise-wide IT system require near constant refresh. We have to make these investments today to ensure success for the Coast Guard and the nation in the future. At the same time the demand for our service grows everyday as our traditional missions become more and more relevant and emerging challenges, such as a more active Arctic and cyber security threats, also require attention and resources. Even with the efficiencies that technology offers in terms of reduced crew and fleet size and increased “sweep width” of patrol craft, it costs more to operate the Coast Guard than it ever has. It

has been and will continue to be a significant challenge to continue the necessary investment in the Coast Guard of tomorrow while effectively operating the Coast Guard of today.

One of the most effective means to ensure the Coast Guard makes the absolute best use of every operational dollar is through the implementation of an effective knowledge management system that links risk, cost, performance and human capital measures with operational data in a way that enables decisions makers at every level to make fully informed decisions. The Coast Guard maintains a large number of IT systems that house a tremendous amount of data on all aspects of our operations and support, and enables some very good analysis. The challenge moving forward is to link those systems and integrate those data so that we can all share a strategic, operational and tactical COP that enables both the most effective prosecution of present day missions and the preparation for future challenges. Then we have to figure out how to maintain and refresh the knowledge management system so that we keep up with the state of technology.

Today the Coast Guard has an opportunity to finally eliminate sexual assault and harassment from our ranks. This is a challenge I'm convinced we will achieve while I am still on active duty. We understand that sexually inappropriate behavior, and certainly sexual assault has no place in our Coast Guard; it is inconsistent with our values and totally contrary to our humanitarian mission. We are committed to creating a culture that is intolerant not only to sexual assault, but to any inappropriate behavior that may be a precursor or enabler of assault. We won't achieve this by changing the minds or behavior of sexual predators; we'll accomplish it by ensuring all Coast Guard men and women are empowered to take notice and take action when they see behavior that we don't tolerate. We've made this type of significant cultural change before with the integration of the races, the assimilation of women into all ranks and assignments, and most recently with the repeal of "don't ask don't tell."

Our job is to take all of these challenges and ensure we are still ready, relevant and responsive to the needs of our nation.

## **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.

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.

None

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.

None

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.

None

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.

None

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.

None

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?

None

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, I look forward to the opportunity.

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

**F. Affidavit**

Andrew Sugimoto 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.

Andrew Sugimoto  
Signature of Nominee

Subscribed and sworn before me this 4<sup>th</sup> day of February, 2019.

Kyle D. Augillard  
Notary Public

**Kyle D. Augillard, Esq.**  
**Legal Assistance Attorney**  
**Commander (dl) - USCG Eighth District**  
**State of Louisiana Bar #31024**





# CAPT Andy Sugimoto Chief of Staff Eighth Coast Guard District



Captain Andy Sugimoto currently serves as the Chief of Staff of the Eighth Coast Guard District. The Eighth District is responsible for U.S. Coast Guard operations spanning 26 states including the Gulf coastline from Florida to Mexico and the adjacent offshore waters of the Gulf of Mexico, as well as the inland waterways of the Mississippi, Ohio, Missouri and Tennessee River systems.

CAPT Sugimoto reported from the First Coast Guard District, where he served as Chief of the Response Division. He was primarily charged with conducting operations from the Canadian border to Northern New Jersey including security and defense of New York City and Boston Harbors.

His previous assignments include Commanding Officer of USCGC STRATTON out of Alameda, CA. STRATTON conducted operations in support of OP ARCTIC SHIELD north of Alaska and counter narcotics patrols in the Eastern Pacific. Other afloat assignments included serving as Commanding Officer, Coast Guard Cutter ACUSHNET, Ketchikan, AK; and Coast Guard Cutter TYBEE, San Diego, CA. CAPT Sugimoto also served as Executive Officer in Coast Guard Cutter CHASE, San Diego, CA, Coast Guard Cutter MONOMOY, Woods Hole, MA, and Deck Watch Officer in Coast Guard Cutter SHERMAN home ported in Alameda, CA.

Staff and ashore assignments have included: Chief, Incident Management Branch of the Ninth Coast Guard District, which spans the five Great Lakes, Saint Lawrence Seaway and parts of the surrounding states, including 1,500 miles of international border. He was responsible for safely prosecuting Search and Rescue cases and responding to all operational incidents which occur within the area of responsibility. He was also assigned as Staff Judge Advocate for the Ninth Coast Guard District, Cleveland OH; practiced Operational Law, Military Justice and Legal Assistance for the Maintenance and Logistics Command Pacific, Alameda, CA, and stood watch as Command Duty Officer for the Eleventh Coast Guard District in Long Beach CA and the PACAREA Command Center in Alameda CA.

CAPT Sugimoto graduated from the U.S. Coast Guard Academy in 1990 with a Bachelor of Science degree in Government. He graduated from the University of San Diego School of Law in 2002 and was conferred a Juris Doctorate.

Captain Sugimoto's military awards include a five Meritorious Service Medals, three Coast Guard Commendation Medals, four Coast Guard Achievement Medals, a Commandant's Letter of Commendation, and several other unit awards. He has served more than 12 years at sea and is a proud Cutterman.

Date updated: 08/12/18

## **CAPT Andrew M. Sugimoto**

### **Current Assignment:**

May 17 – present Chief of Staff, Eighth Coast Guard District

### **Assignment History**

Jul 15- May 17	Chief of Response, First Coast Guard District
Jul 13 – Jun 15	USCGC STRATTON (WMSL 752), Commanding Officer
Jun 11 – Jul 13	Ninth Coast Guard District, Chief, Incident Management
Aug 09 – Jun 11	Ninth Coast Guard District, Staff Judge Advocate
Jul 07 – Aug 09	USCGC ACUSHNET (WMEC 167), Commanding Officer
May 05 – May 07	USCGC CHASE (WHEC 718), Executive Officer
Oct 02 – May 05	Maintenance & Logistics Command Pacific, Duty Attorney
Jun 99 – Oct 02	DUINS, University of San Diego School of Law
Jun 97 – Jun 99	USCGC TYBEE (WPB 1330), Commanding Officer
May 96 – Jun 97	Pacific Area Command Center, Duty Officer
Aug 94 – Apr 96	Eleventh District Command Center, Duty Officer
Oct 92 - Jul 94	USCGC MONOMOY (WPB 1326), Executive Officer
Jul 90 - Oct 92	USCGC SHERMAN (WHEC 720), Navigator, GunnO

### **Educational Summary**

2002 University of San Diego School of Law, Juris Doctor  
1990 United States Coast Guard Academy, BS, Government

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

MSM (5), COM (3), ACH (4), CLOC  
2006 - Honorary USCG Chief Petty Officer  
2005 – California Bar Young Lawyers  
2010 – TJAG Regulation Writing Award

### **Significant Current Professional Credentials or Recent Activities**

Member, California Bar  
Permanent Cutterman