

BIOGRAPHICAL AND FINANCIAL INFORMATION REQUESTED OF
DEPARTMENT/ AGENCY NOMINEES

U.S. Senate Committee on Commerce, Science, and Transportation

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):

Adam Joseph Sullivan

2. Position to which nominated:

Assistant Secretary for Government Affairs, U.S. Department of Transportation

3. Date of Nomination:

May 11, 2017

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

Residence:

[REDACTED]

Office:

[REDACTED]

5. Date and Place of Birth:

March 12, 1971
Iowa City, Iowa

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).

Melissa Lynn Sullivan
First Grade Teacher, Fairfax County Public Schools.

[REDACTED]

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

Simpson College, Indianola, IA; attended 9/89-5/93; B.A, May 1993

The George Washington University School of Business, Washington, D.C.; attended 9/07-12/10; Master of Business Administration, January 2011

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.
- a) U. S. Senate Committee on Appropriations, Washington, D.C.: Professional Staff Member, January 2015 to present.
 - b) U. S. House of Representatives, Office of Rep. Jack Kingston, Washington, D.C.: Chief of Staff, February 2011 to January 2015. Management position; also related to engagement with federal, state, and local governments on a wide range of issues.
 - c) Harris Corporation, Washington, D.C. and Alexandria, VA: Director of Government Relations, December 2005 to February 2011.
 - d) U. S. Department of Labor, Washington, D.C.: Deputy Assistant Secretary for Congressional Affairs and Senior Legislative Officer for Appropriations, March 2002 to December 2005. Management Position and directly related to government affairs for a federal agency.
 - e) U. S. House of Representatives, Office of Rep. Jack Kingston, Washington, D.C.: Chief of Staff, Legislative Director, Senior Legislative Staff, January 1997 to March 2002. Management positions.
 - f) U. S. House of Representatives, Office of Rep. Jim Lightfoot, Washington, D.C.: Legislative Assistant, Staff Assistant, etc, February 1994 to January 1997.
 - g) State of Iowa, Office of the Governor, Ukraine: Support staff for U.S. foreign aid project in conjunction with USAID, post-graduation 1993.

9. Attach a copy of your resume.

A copy of my resume 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.

Director, Government Relations, Harris Corporation 2005-2011
Vice Chairman, Government Relations Roundtable, Healthcare
Information and Management Systems Society 2010-2011

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.

To the best of my recollection, in addition to the organizations listed in response to question 11 above, my organizational memberships during the last ten years are listed below. I am not aware of any organization to which I have belonged having had a discriminatory restricted membership policy.

National Defense Industrial Association
Association of the United States Army
Healthcare Information and Management Systems Society, 2007-2011
Aldersgate United Methodist Church, 2004-Present
US Capitol Historical Society
Mount Vernon Park Association, 2005-Present
Neighborhood Friends of Mount Vernon
American Automobile Association (AAA), 2005-Present
Harris Political Action Committee, 2005-2011
George Washington University Graduate Finance Society, 2010-2011
George Washington University MBA Association, 2009-2011
George Washington University Alumni Association, 2011-Present
University of Iowa Alumni Club, 1994-2004, 2011-2012
Republicans Associated for Mutual Support, 2012-Present
House Chief of Staff Association/House Administrative Assistant Alumni
Association, 2002-2012
Waynewood Elementary Parent Teacher Association, 2005-2014
Carl Sandburg Middle School Parent Teacher Association, 2012-Present
West Potomac High School Parent Teacher Student Association, 2014-

Present

Carl Sandburg Middle School Band Boosters, 2015-Present

West Potomac High School Theater Boosters, 2014-Present

Central Virginia Genealogical Society, 2017-Present

Porsche Club of America, 2016-Present

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.

I have not been a candidate for elected public office and have no associated campaign debt.

I have held two appointed public offices: Senior Legislative Officer for Appropriations, U. S. Department of Labor (2002-2003), and Deputy Assistant Secretary of Labor for Congressional Affairs, Senior Executive Service (2003-2005).

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.

Harris Political Action Committee, 2006-2011, 0.5% of salary per month
Bill Nelson for U.S. Senate, 12-21-2007, \$1000
RNC 72 Hour Campaigns (2004, 2006, 2008)

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

Cowles Fellowship, Presidential Scholarship, Matthew Simpson Scholarship; Simpson College Excellence in Russian Award (name is approximate, to best of recollection); Epsilon Sigma; Omicron Delta Kappa, Alpha Lambda Delta

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.

None.

Do not attach copies of these publications unless otherwise instructed.

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 believe each step of my career has helped prepare me for this role in a valuable way. As a longtime Congressional staff member, having served in both chambers and on both personal and committee staffs, I have worked within this body from various perspectives and have developed important insights on how it operates, what kind of information is valued, how to engage effectively, and so forth. Similarly, as a former appointee in a role similar to the one for which I have been nominated, I have also worked within the executive branch and developed an understanding of how to be effective within an agency environment, how to work constructively with permanent staff, and how to work with Congress from that type of role. Finally, having worked in the private sector, I have also seen government from the perspective of an employee and as part of an organization trying to create jobs and grow the economy. In other words, I have lived under the laws and regulations government creates. Taken together, I believe my diverse past experiences in policy, staff, and leadership positions have prepared me well for this role.

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?

I believe a person in this position could support those goals in part by helping ensure open and timely communication both with the many other

relevant components of the executive branch as well as within the Department. My team and I would help ensure policymakers and regulators are fully informed about the needs, concerns, and preferences of our many key stakeholders. I would also ensure that our office pursues the best possible standards of ethics, effectiveness, and efficiency. I have previously managed Congressional offices and legislative teams as well as a government organization similar to this one in the role of a Deputy Assistant Secretary in a previous Administration.

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

One broad priority for the agency is to operate effectively and efficiently – in a manner worthy of the public trust. We cannot achieve the safest, most efficient transportation infrastructure without effective stewardship. Like all government agencies, businesses, and individual citizens, we must seek to accomplish as much as possible with limited resources. Another major challenge and priority is effective communication. The Congress, reflecting its own constituencies, has many diverse transportation interests and priorities. Ensuring that the Department can hear all of these perspectives is critical to its mission. The Department of Transportation also has many other important stakeholders, such as state, local, regional, and tribal governments; millions of travelers; and the taxpayers who support it all. We must also engage meaningfully with all of them. Finally, the Department itself is divided into many entities such as the modal administrations, which require information and guidance. We must also understand and seek to meet the needs of these important internal clients.

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 have no such arrangements except the retirement benefits resulting from federal government service as well as from the company for which I worked that are identified on my financial disclosure report. Specifically, I have vested assets in a 401(k), distributed among diversified investment funds as well as vested shares of stock.

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

No.

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

In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Transportation's Designated Agency Ethics Official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with DOT's Designated Agency Ethics Official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

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.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Transportation's Designated Agency Ethics Official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the

terms of an ethics agreement that I have entered into with DOT's Designated Agency Ethics Official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

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.

During my work as a corporate employee from December 2005 to February 2011, I was involved in seeking to promote the passage of legislation that funded the government on an annual basis and that provided authorization for government programs and activities. The legislation I focused upon primarily dealt with the Department of Defense and other national security agencies.

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

In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Transportation's Designated Agency Ethics Official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with DOT's Designated Agency Ethics Official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

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.

No.

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

Not applicable.

D.RELATIONSHIP WITH COMMITTEE

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

Yes, to the extent reasonable and feasible.

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, to the extent consistent with legal and customary requirements.

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.)

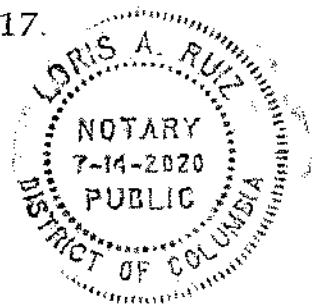
F. Affidavit

Adam Sullivan 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.

Adam Sullivan
Signature of Nominee

Subscribed and sworn before me this 11 day of May, 2017.

Loris A. Ruiz
Notary Public



Adam J. Sullivan



Summary: Public policy professional with senior level experience in legislative and executive branches as well as the private sector with emphasis in appropriations and diverse federal policy subjects.

Professional Experience:

U. S. SENATE, Washington, D.C. 2015 - Present

Senate Committee on Appropriations

Professional Staff Member

- Conducts committee staff oversight for the Department of Labor and several related agencies and evaluates programmatic and other funding requirements for relevant agencies.
- Prepares bill and report language and funding allocation recommendations.
- Supports Chairman and Committee members with technical expertise throughout appropriations process, including markups, House/Senate conference, hearings, and other oversight and analysis.

U. S. HOUSE OF REPRESENTATIVES, Washington, D.C. 2011 – 2015

Representative Jack Kingston (GA-01), Chairman, Appropriations Subcommittees on Agriculture and on Labor, Health and Human Services, and Education, second ranking on Defense

Chief of Staff and Associate Appropriations Committee Staff

- Acted as the Member's principal representative and policy advisor.
- Managed the Chairman's Appropriations Committee activities.
- Direct activities and staff of the Washington and district offices.

HARRIS CORPORATION, Washington, DC 2005 – 2011

Director, Government Relations

- Managed and conducted company relations with Congress, the Administration, and relevant agencies.
- Developed and implemented strategies to support defense, space (SCI), intelligence (SCI), cyber security, homeland security, health technology, as well as related appropriations and other programs.
- Engaged with House and Senate Committees on Appropriations, Armed Services, and Homeland Security as well as the Select Committees on Intelligence in support of defense and intelligence programs.

U. S. DEPARTMENT OF LABOR, Washington, D.C. 2002 – 2005

Deputy Assistant Secretary (SES) – Congressional and Intergovernmental Affairs 2003 – 2005

- Represented Department of Labor to Members of Congress and staff in support of the Department's legislative initiatives, regulations, and appropriations proposals.
- Advised the Department and subsidiary agencies regarding the implementation of appropriations acts.
- Assisted and advised the Secretary and Deputy Secretary in the development of the Department's annual budget and legislative proposals.
- Directed activities and staff of Office of Congressional Affairs.

Adam J. Sullivan

Senior Legislative Officer – Appropriations

2002 – 2003

- Assisted development of Departmental budget request as member of the Secretary's budget team.
- Represented the Department of Labor on appropriations issues to the House of Representatives and the Senate in support of the President's budget requests and related legislation.
- Advised the Secretary and other Department officials on legislative strategy and appropriations implementation.
- Prepared the Secretary and other senior officials for hearings, meetings, speeches and other events on Capitol Hill.

U. S. HOUSE OF REPRESENTATIVES, Washington, D.C.

1994 – 2002

Representative Jack Kingston (GA-01)

1997 – 2002

Chief of Staff and Associate Appropriations Committee Staff

- Acted as the Member's principal liaison and policy advisor.
- Managed and directed activities and staff of the Washington and district offices.
- Coordinated activities of the Member with Leadership, Committees, and the Administration.
- Managed long-term legislative plan and strategies.

Legislative Director and Associate Appropriations Committee Staff

- Conducted all staff-level duties associated with Appropriations Committee.
- Developed policy positions and advised Member on legislative issues.
- Managed and recommended hiring of legislative staff.
- Planned and implemented activities advancing the Member's legislative initiatives.
- Represented Member in dealings with constituents, government officials, lobbyists, and others.

Representative Jim Lightfoot (IA-03)

1994 - 1996

Legislative Assistant, Office Manager

- Assisted development of policy positions and legislative initiatives in the following issue areas: Foreign Affairs, Defense, Health Care, Social Security, Education, and Appropriations issues.
- Prepared vote recommendations and justifications, legislative briefings, and analyses.
- Developed legislative initiatives and coordinated their advancement.
- Planned and maintained budget and accounts for Washington office and five District Offices.

Education:

Master of Business Administration
The George Washington University

Bachelor of Arts
Simpson College
Major: International Relations
Minors: Economics and Russian