

SENATE CONFIRMATION QUESTIONNAIRE – MARK H. BUZBY.

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

1. Name (Include any former names or nicknames used):

ANS: Mark Howard Buzby, Buz Buzby

2. Position to which nominated:

ANS: Administrator, Maritime Administration, U.S. Department of Transportation

3. Date of Nomination:

ANS: June 26 2017

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

ANS:

[REDACTED]

[REDACTED]

Office:

National Defense Transportation Association
50 S. Pickett St, Ste 220, Alexandria, VA 22304

5. Date and Place of Birth:

ANS: 6 October 1956, Atlantic City, NJ

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).

ANS: Spouse: Gina Warren Buzby. Owner, GWB Fine Art, LLC, [REDACTED]

Children: None

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

ANS:

MA, Strategic Studies and Military Affairs, US Naval War College, 1991

MA, International Relations, Salve Regina University, 1991

BS, Nautical Science, US Merchant Marine Academy, 1979
Graduate studies –UNC Kenan-Flagler School of Business, 2006
 USCG THIRD Mate Unlimited tonnage License, since 1979 (Continuity status)
 US Navy Master Trainer certification, 2005

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.

ANS:

*US Navy (see description below)	Officer	1979-2013
*National Defense Transportation Association	President/CEO	2015-Present
*Carnival Cruise Lines	Safety Review Bd	2014-Present
Regeneron Pharmaceuticals	Consultant	2014-Present
*Northeast Ship Repair	Board	2014-Present
*Wartsilia Defense, Inc.	GSC Board	2015-Present
Raytheon Mission Systems	Consultant	2014-2016
United Seaman’s Service	Board/Trustee	2015-Present
Admiral Farragut Academy	Board	2014-Present
Rupriect Company	Consultant	2013-2014
Intl. Org. of Masters, Mates, and Pilots (owns		
Maritime Institute of Training & Graduate Studies)	Consultant(Instructor)	2015-2016
Phillips/Kirkland Maritime Trust	Trustee	2017-Present

Upon graduation from the US Merchant Marine Academy in 1979, I went on active duty in the US Navy and served for 34 years in a wide range of afloat and shoreside billets with increasing levels of responsibility, rising in rank from Ensign to Rear Admiral (upper half). My career included five tours in command including destroyer USS CARNEY (DDG 64), Destroyer Squadron THIRTY-ONE, Surface Warfare Officer’s School Command, Joint Task Force GUANTANAMO, and Military Sealift Command (MSC). As Commander, MSC, I had administrative control over all of the US Navy’s non-combatant ships (112), and when activated, operational control of ships of MARAD’s Ready Reserve Force (46).

9. Attach a copy of your resume.

Attached.

10. List any advisory, consultative, honorary, or other part-time service or positions with Federal, State, or local governments, other than those listed above, within the last ten years.

ANS: 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.

ANS:

US Navy	Officer	1979-2013
National Defense Transportation Association	President/CEO	2015-Present
Carnival Cruise Lines	Safety Review Bd	2014-Present
Regeneron Pharmaceuticals	Consultant	2014-Present
Northeast Ship Repair	Board	2014-Present
Wartsilia Defense, Inc.	GSC Board	2015-Present
Raytheon Mission Systems	Consultant	2014-2016
United Seaman's Service	Board/Trustee	2015-Present
Admiral Farragut Academy	Board	2014-Present
Ruprict Company	Consultant	2013-2014
Intl. Org. of Masters, Mates, and Pilots (owns Maritime Institute of Training & Graduate Studies)	Consultant(Instructor)	2015-2016
Phillips/Kirkland Maritime Trust	Trustee	2017-Present
Buzby Maritime Associates, LLC	Owner/Officer	2013-Present
Surface Navy Association	Board	2014-Present

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.

ANS:

<u>Organization</u>	<u>Type</u>	<u>Date</u>	<u>Position</u>
US Naval Institute	Prof	1975-Pres	Member
Navy League of US	Prof	2014-Pres	Member
Surface Navy Assoc	Prof	1996-Pres	Member
Surface Navy Assoc	Prof	2014-Pres	Board
United Seaman's Service	Charit	2015-Pres	Board
National Defense Transportation Assoc	Prof	2015-Pres	President
New York Yacht Club	Priv	1991-Pres	Member
Army-Navy Club	Priv	2015-Pres	Member
Virginia Yacht Club	Social	2016-Pres	Member
Admiral Farragut Academy	Edu	2014-Pres	Board

None of these clubs or 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.

ANS: 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.

ANS: None.

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

ANS:

Military Medals:

- Navy Distinguished Service Medal
- Defense Superior Service Medal
- Legion of Merit (4)
- Bronze Star
- Defense Meritorious Service Medal
- Meritorious Service Medal (5)
- Joint Service Commendation Medal
- Navy Marine Corps Commendation Medal (3)
- Joint Service Achievement Medal
- Navy Achievement Medal
- NATO Medal – Kosovo
- Various other unit and campaign awards

Honors:

- US Merchant Marine Academy “Alumnus of the Year” 2010
- Admiral Farragut Academy “Alumnus of the Year” 2012

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.

ANS: Commentary and interviews by Rear Adm. Mark H. Buzby listed below.

2017:

[U.S. airstrikes kill former Guantanamo detainee in Yemen](#) (Associated Press)
[Annual Review & Outlook, 2017](#) (Journal of Commerce)
[Is this Transportation's Year?](#) (Defense Transportation Journal)

2016:

[New Horizons](#) (Defense Transportation Journal)
[Outdated infrastructure poses national security risk](#) (The Hill)
[New Rules Means Containers Must Be Accurately Weighed](#) (LandLine Now – audio)
[From Blue to Brown and Back](#) (SEAPOWERS)
[Annual Review & Outlook, 2016](#) (Journal of Commerce)

2015:

[Opportunities for Growth](#) (Defense Transportation Journal)
[Annual Review & Outlook, 2015](#) (Journal of Commerce)

2014:

[Adjusting Course and Speed](#) (Defense Transportation Journal)

2013:

["Relieve the watch..."](#) (Sealift)
[Admiral Buzby on the evolving capabilities of a USN-USMC MSC enabled fleet](#) (Second Line of Defense)
[MSC voyages to the Quality Management System](#) (Sealift)
[The "seabasing revolution": Rear Admiral Buzby discusses the latest addition to the MSC fleet](#) (Second Line of Defense)
[Potential impact of budgets and sequestration](#) (Sealift)
[Anticipating the USNS Montford Point: An interview with Admiral Buzby](#) (Second Line of Defense)
[What's on the horizon for 2013? Plenty!](#) (Sealift)
[What sailing taught me about life, and vice versa](#) (Sealift)

2012:

[Plans: Strategic, emergency and personal](#) (Sealift)
[Staying Whole: MSC commander will not let budget cuts, mission growth compromise fleet readiness](#) (SEAPOWERS)
[When the customer is everyone](#) (Sealift)
[Ten months and counting: ONE MSC is working](#) (Sealift)
[The new and improved CMPI 610](#) (Sealift)
[HQ consolidation: What we know so far and what's next](#) (Sealift)
[MSC Key to Navy strategy: Forward deployed and ready](#) (Sealift)
[Safety first, last and always](#) (Sealift)
[Just another day with MSC...](#) (Sealift)
[Admiral "Buz" Buzby on the Military Sealift Command: Providing global support for forward deployment](#) (Second Line of Defense)

[Travels are always revealing \(Sealift\)](#)
[Strategic DOD guidance: New equipment, missions for MSC \(Sealift\)](#)
[We asked, you answered: Here's what we learned \(Sealift\)](#)
[Happy 2012 – another year to excel! \(Sealift\)](#)

2011:

[Holiday greetings and bandwidth news \(Sealift\)](#)
[Milestones, new leaders and ONE MSC \(Sealift\)](#)
[Realignment, spillage and remembering 9/11 \(Sealift\)](#)
[Recruiting promotions and rumors \(Sealift\)](#)
[Alignment, payroll and afloat survey \(Sealift\)](#)
[Making way on taking care of people \(Sealift\)](#)
[Joint high-speed vessel: Full ahead! \(Sealift\)](#)
[Managing quality change and growth \(Sealift\)](#)
[Giving MSC people the means to excel \(Sealift\)](#)
[STRATEGIC PRIORITY: Focus on the customer \(Sealift\)](#)
[Providing ships ready for tasking \(Sealift\)](#)
[2011 – Charting the course \(Sealift\)](#)

2010:

[New ship's new programs, new heroes \(Sealift\)](#)
[Trust and confidence – aiming high \(Sealift\)](#)
[One year on watch – log it! \(Sealift\)](#)
[Luckiest admiral in the Navy \(Sealift\)](#)
[Progress report: putting people first \(Sealift\)](#)
[Facebook now part of the MSC conversation \(Sealift\)](#)
[Interview with Rear Adm. Mark H. Buzby: The State of U.S. Sealift \(Defense Logistics\)](#)
[Today's people – tomorrow's ships – yesterday's sacrifices \(Sealift\)](#)
[Thoughts on seeing MSC in action \(Sealift\)](#)
[Aligning with Navy's Global Force for Good \(Sealift\)](#)
[Haiti earthquake relief \(Sealift\)](#)
[Responding to disaster = MSC core value \(Sealift\)](#)
[MSC Milestone: T-AFS class completes nearly five decades of service \(Sealift\)](#)

2009:

[The top five things I learned my first month at MSC \(Sealift\)](#)
[New MSC Commander takes helm \(Sealift\)](#)

2008:

[How Guantanamo became a recruiting ground for militants \(Miami Herald\)](#)

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.

ANS: 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?

ANS: Beginning with my education at the US Merchant Marine Academy, throughout my 34 yr career as a US Navy Surface Warfare Officer, and now as President of the National Defense Transportation association, I have been closely associated with nearly all facets of the US maritime industry both afloat and ashore my entire adult life. In my last US Navy tour commanding Military Sealift Command, I worked on a daily basis with MARAD and USTRANSCOM on a myriad of issues dealing with strategic sealift, manning, and health of the US Flag maritime industry. In my current role as President, National Defense Transportation, I act as a facilitator and enabler of discussion and action between USTRANSCOM / MSC /MARAD and the commercial ocean carriers. I want to serve because I believe I can make a difference in strengthening the US Merchant Marine Academy and ensuring the maritime industry is strong in peace and able support for this nation's strategic sealift in time of conflict.

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?

ANS: As a custodian of the public trust my entire professional career, I am well-versed and experience in managing tax-payer funds and developing budgets. Accountability and auditability are key focuses. As Commander, Military Sealift Command, I managed an organization of over 10,000 uniformed and civilian personnel with an annual budget of nearly \$3.5B.

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

ANS:

1. Advocating in strongest possible terms the need for a strong US Flag Merchant Marine properly sized, equipped, and manned to carry out the peacetime commerce and wartime strategic sealift requirement of the Nation. Part and parcel to this is ensuring a proper percentage/type of cargo is made available to be carried preferentially in US Flag ships.
2. Strengthen and reinforcing the role of the US Merchant Marine Academy as the world's pre-eminent institution for maritime education.

3. Reinforce the critical role the Jones Act plays in providing economic security to the maritime industry, and its absolutely vital role to our national security.

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 currently receive a salary from the National Defense Transportation Association (NDTA) for my position as President and CEO. I also currently receive board fees from the following entities: Carnival Cruise Lines Inc. for my position as a member of its Safety & Reliability Review Board; Northeast Ship Repair Inc. for my position as a Board member; and Wartsilia Defense Inc. for my position as an outside Director on its Government Security Committee. In addition, I currently receive fees from Regeneron Pharmaceuticals for my position as a Consultant, and I have been named as a trustee for the Phillips/Kirkland Maritime Trust. If confirmed, I will resign from these positions.

I previously held positions with Raytheon as a Consultant and with the Maritime Institute for Training & Graduate Studies as an Instructor. The Maritime Institute is owned by the International Organization of Masters, Mates, and Pilots. In addition, I currently serve as a Board member of the United Seaman's Service and the Admiral Farragut Academy. Both positions are voluntary and unpaid. If confirmed, I will resign from those positions.

I also have an LLC, Buzby Maritime Associates LLC, to provide maritime consulting services. However, I have never done business under this LLC and if confirmed, it will be inactive during my time in Federal service.

I have a 403(b) retirement plan from my current employer, National Defense Transportation Association; if confirmed, I will retain this 403(b) plan but NDTA will not make any further contributions to the plan. I also have a TSP account from my previous government service; if confirmed, I will retain my TSP account.

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.

ANS: 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.

ANS: 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 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.

ANS: 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 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.

ANS: 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.

ANS: 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 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.

ANS: 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.

ANS: 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.

ANS: No. My current and former employers have been involved in litigation and administrative proceedings as part of their normal business dealings, but I was and am not an officer of those businesses and have not been named as a party in those actions.

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.

ANS: 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.

ANS: No

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

ANS: None

D. RELATIONSHIP WITH COMMITTEE

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

ANS: 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?

ANS: 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?

ANS: 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?

ANS: Yes

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

F. Affidavit

I, Mark H. Buzby, being duly sworn, hereby states that I have read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of my knowledge, current, accurate, and complete.


Signature of Nominee

Subscribed and sworn before me this 27 day of June, 2020


Notary Public

MAURICIO A. BENITEZ
NOTARY PUBLIC
REG#7506338
MY COMMISSION EXPIRES
FEBRUARY 28, 2021