

The Senate Committee on Commerce, Science, and Transportation asks you to provide typed answers to each of the following questions.

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

1. Name: Carola J.G. List (Robinson/Atkinson)
2. Position to which nominated: Rear Admiral, Lower Half.
3. Date of Nomination: September 8, 2020
4. Address (List current place of residence and office addresses):



Office:
U.S. Coast Guard
2703 Martin Luther King, Jr SE
Washington, DC 20593

5. Date and Place of Birth: October 27, 1964, Frankfurt, Germany.
6. Provide the name, position, and place of employment for your spouse and the names and ages of your children. Children – none.
Spouse: Tim J. List, Captain (select), U.S. Coast Guard.
7. List all college and graduate degrees. Provide year and school attended.
Master of Science National Security & Resource Strategy; Dwight D. Eisenhower (Industrial College of the Armed Forces) - 2014.
Master of Science Quality Systems Management; National Graduate School - 2005.
Bachelor of Arts Business Administration; University of North Dakota - 1989.
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. None.
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. 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. (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 handicap.

Gamma Phi Beta Sorority: 1984 – present

Coast Guard Aviation Association: 1994 - present

Daedalians: 2000 - present

Women in Aviation International (WAI): 2001 - present

Military Officers Association (MOAA): 2010 - present

Women Military Aviators (WMA): 2011 – present, Treasurer 2016-2018

Navy League: 2019 - present

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)? 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.

National Defense University, Commandant's Award for Outstanding Research for International Cooperative Research.

DHS Secretary's Team Award for USCG/CBP Joint Operations Program.

USCG Innovation Award.

Officer of the Year, Navy League.

Pilot of the Year, Order of Daedalians.

Military Women of Achievement, Navy League.

Meritorious Service Medals (4)

Commendation Medals (2)

Achievement Medal

17. Please list each book, article, column, Internet blog posting, or 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: Cj List - active
Linkedin: Carola List - active
Twitter: Cj List - 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?

A career U.S. Coast Guard officer with over 29 years of service, I have a diverse background having served in leadership roles in operational, engineering, and acquisition specialties within the service. In those roles I have tackled numerous challenges and found and carried out innovative solutions to ensure the organization's ability to achieve its mission requirements and organizational objectives. I am honored and humbled to be nominated to serve as a member of the service's executive leadership. I look forward to the opportunity to continue to serve in a greater leadership role to advance our Nation's maritime safety, security and stewardship while supporting the well-being and professional development of a diverse workforce that is ready, relevant and responsive to meet the nation's complex maritime challenges.

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 military officer and leader it is my responsibility to ensure proper management and accounting controls are followed. We owe it to the American people to ensure appropriate oversight, transparency, and accountability in the use of limited resources, and that we responsibly execute those resources, while effectively managing change to

cope with shifting environments and evolving demands and priorities. I have served in various leadership and management positions that have demonstrated my ability and expertise in adhering to fiscal control measures while effectively and efficiently executing program requirements, including those associated with the execution of major acquisition programs.

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

Three of the top challenges facing our organization today are ensuring we have the necessary equipment, assets, and technology to effectively and efficiently carry out our missions; an inclusive ready workforce with the skillsets needed to execute those missions; and recapitalization of our aging shore infrastructure to support those efforts.

We are undergoing the largest re-capitalization effort in history. While we must continue to acquire the assets and equipment needed to execute our critical missions, it is becoming increasingly challenging in a fiscally constrained environment. This will require making risk-based trade-offs between acquisitions, and sustainment of our aging assets and infrastructure, while ensuring our workforce has the equipment and facilities necessary to execute Coast Guard missions. In addition, we are faced with increasing cyber threats and outdated IT infrastructure and systems. Finding cost effective means to leverage and invest in technology to enhance our ability to access and harness real-time information to enable rapid response to countering maritime threats will be necessary in carrying out our missions.

The key success factor in the service's ability to ensure the safety, security, stewardship, and resiliency in meeting our missions, has always been our workforce - the men and women who choose to serve our great nation. The complex challenges our service faces in executing our mission sets now and, in the future, requires the best and brightest who are equipped and trained to meet these challenges head on. We must find innovative ways to recruit and retain a diverse and inclusive workforce, and maximize readiness of the workforce to deliver mission excellence that our nation and the American people deserve.

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? 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. Explain how you will resolve each potential conflict of interest. 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. Explain how you will resolve each potential conflict of interest. None.
5. 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. 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, 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? 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? 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? No.
4. Have you ever been convicted (including pleas of guilty or *nolo contendere*) of any criminal violation other than a minor traffic offense? 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? No.
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.

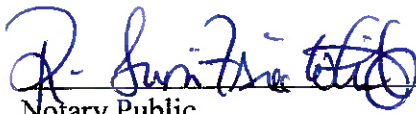
(Nominee is to include this signed affidavit along with answers to the above questions.)

F. AFFIDAVIT

Carola J.G. List being duly sworn, hereby states that she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of her knowledge, current, accurate, and complete.


Signature of Nominee

Subscribed and sworn before me this 17 day of September, 2020


Notary Public

District of Columbia: SS

Sworn to and subscribed before me on
the 17 day of September, 2020


Notary Public's Signature
My Commission Expires 04/31/2023



Carola J. List, CAPT
Executive Assistant for the Deputy Commandant Mission Support,
U.S. Coast Guard



Captain Carola J. List assumed the duties of Executive Assistant for the Deputy Commandant of Mission Support at U.S. Coast Guard Headquarters in Washington D.C. on 17 July 2019, where she coordinates Headquarters and field activities for a 17,000-person mission support organization that delivers the systems and people that enable the U.S. Coast Guard to efficiently and effectively perform its operational missions.

Previously, Captain List served as Commanding Officer Coast Guard Air Station Sacramento, California, where she was stood up the first operational unit for the Coast Guard's newest fixed-wing asset, the HC-27J Spartan, and was responsible for conducting operations from the Canadian to Mexican border and throughout the north pacific maritime regions.

A career naval aviator with over 4,800 flight hours, Captain List served in a number of operational assignments including Air Station San Diego, California; Aviation Engineering Officer Air Station Los Angeles, California; Executive Officer Air Station Barbers Point, Hawaii; and Air Station Clearwater, Florida where she participated in counter drug operations across the Caribbean.

Her staff assignments include Coast Guard District One Readiness and Reserve, Boston, Massachusetts; HC-144 Systems Manager, Systems Chief for all Coast Guard aviation platforms, and Deputy/Chief of the Office of Aeronautical Engineering at Coast Guard Headquarters where she was responsible for managing engineering, maintenance, and logistics for the Coast Guard aviation fleet of aircraft. She also served as Program Manager in the Office of Acquisition Programs, Washington D.C. where she was responsible for execution of boat acquisition programs totaling over \$900 million in new surface assets.

Captain List was commissioned in the United States Coast Guard in 1991, and attended flight training at Naval Air Station Pensacola, Florida earning her "Wings of Gold". She is a US Coast Guard designated Aeronautical Engineering Officer, and qualified Aircraft Commander and Instructor Pilot, having flown the MH-65 Dolphin, HH-60J Jayhawk helicopters, and the HC-27J Spartan fixed wing aircraft.

Captain List holds a Master of Science in National Resource Strategy from the National Defense University, Dwight D. Eisenhower School for National Security and Resource Strategy; a Master of Science in Quality Systems Management from the National Graduate School; a Bachelor of Arts in Business Administration with a major in Airport Management from the University of North Dakota, and has earned Program Management and Logistics Acquisition certifications. Her personal awards and recognitions include four Meritorious Service Medals, two Commendation Medals, 2005 USCG Innovation Award, 2006 DHS Secretary's Team Award for the USCG/CBP Joint Operations Program, and 2014 National Defense University, Commandant's Award.

Captain List hails from Bloomington, Minnesota and is married to Captain (select) Tim List, U.S. Coast Guard.

Captain Carola J. List

Current Assignment:

Jul 19 - Present Deputy Commandant for Mission Support (DCMS), Executive Assistant

Assignment History

Jul 16 - Jul 19 Air Station Sacramento, Commanding Officer
Jul 14 - Jul 16 COMDT (CG-9325) Boat Major Acquisitions Program Manager
Aug 13 - Jul 14 Dwight D. Eisenhower School for National Security and Resource Strategy, Student
Jul 10 - Jul 13 Air Station Barbers Point, Executive Officer
Jun 09 - Jul 10 COMDT (CG-41), Acting Office Chief & Deputy
Jun 08 - Jun 09 COMDT (CG-411), Chief, Systems Management Division
Jul 06 - Jun 08 COMDT (CG-411), HC-144 Systems Manager
Jul 03 - Jun 06 Air Station Los Angeles, Engineering Officer
Jun 01 - Jun 03 Air Station Clearwater, Assistant Engineering Officer
Aug 99 - May 01 Air Station Clearwater, H-60 Rotary Wing and OPBAT Engineering Officer
Jun 98 - Jul 99 Activities San Diego, Aviation Student Engineer
Aug 94 - May 98 Activities San Diego, Assistant Facilities Department Head, Duty Pilot
Oct 92 - Jul 94 Naval Flight Training, Pensacola, FL, Pilot Training
Feb 91 - Oct 92 CG District One, Readiness and Reserve Section Chief

Educational Summary

2014 National Defense University, Dwight D. Eisenhower School for National Security and Resource Strategy; Master of Science National Security and Resource Strategy
2005 National Graduate School; Master of Science Quality Systems Management
1989 University of North Dakota; Bachelor of Arts Business Administration

Military Personal Awards and Significant National Recognition or Achievement

2014 National Defense University, Commandant's Award for Outstanding Research for International Cooperative Research
2006 DHS Secretary's Team Award for USCG/CBP Joint Operations Program.
2005 USCG Innovation Award
2003 Officer of the Year, Navy League, Clearwater, Florida Council
2000 Pilot of the Year, Order of Daedalians, Sun-Coast Flight
1998 Military Women of Achievement, Navy League, San Diego, California Council

Significant Current Professional Credentials or Recent Activities

2014 Joint Professional Military Education II,
2014 NDU Senior Acquisition Course
2013 USAF, Joint Professional Military Education I
USCG Aircraft qualifications: HH-60J, HH-65A/B/C, MH-65B/C, HC-27J
FAA Airplane Single Engine Land, & Rotorcraft Airline Transport; Commercial Pilot Certification
U.S. Naval Aviation Command Safety Course
U.S. Air Force Safety Board President Course
Advanced Program in Logistics & Technology, UC Kenan-Flagler Business School
DHS Acquisition Program Manager Level III Certification
DHS Logistics Program Level I Certification