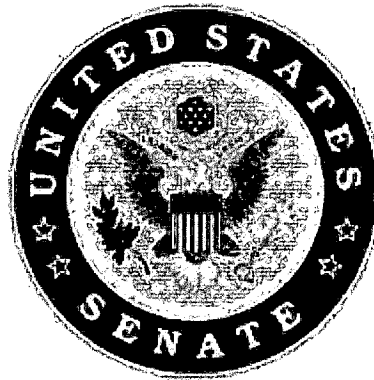


SELECT COMMITTEE ON
INTELLIGENCE

UNITED STATES SENATE



QUESTIONNAIRE FOR COMPLETION BY
PRESIDENTIAL NOMINEES

**SELECT COMMITTEE ON INTELLIGENCE
UNITED STATES SENATE**

**QUESTIONNAIRE FOR COMPLETION BY
PRESIDENTIAL NOMINEES**

PART A - BIOGRAPHICAL INFORMATION

1. NAME:

- Caryn Anne Wagner

2. DATE AND PLACE OF BIRTH:

- September 22, 1957; Columbus, Georgia

3. MARITAL STATUS:

- Married

4. SPOUSE'S NAME:

- Carlyle Martin Lash

5. SPOUSE'S MAIDEN NAME IF APPLICABLE:

- Not applicable

6. NAMES AND AGES OF CHILDREN:

- None

7. EDUCATION SINCE HIGH SCHOOL:

| <u>INSTITUTION</u> | <u>DATES ATTENDED</u> | <u>DEGREE RECEIVED</u> | <u>DATE OF DEGREE</u> |
|-----------------------------------|-----------------------|--|-----------------------|
| College of William and Mary | 1975-1979 | Bachelor of Arts (History and English) | 1979 |
| University of Southern California | 1984-1987 | Masters of Science (Systems Management) | 1987 |

8. EMPLOYMENT RECORD (LIST ALL POSITIONS HELD SINCE COLLEGE, INCLUDING MILITARY SERVICE. INDICATE NAME OF EMPLOYER, POSITION, TITLE OR DESCRIPTION, LOCATION, AND DATES OF EMPLOYMENT.)

- September 2009 – Present, Substitute Teacher, Arlington County Public Schools, Arlington, VA.
- October 2008 – Present, Faculty member, Intelligence and Security Academy, LLC, Reston, VA.

- January 2007 – October 2008, Budget Director, House Permanent Select Committee on Intelligence, Washington, DC.
 - April 2005 – January 2007, Assistant Deputy Director of National Intelligence/Chief Financial Officer for the National Intelligence Program, CIA HQ, Langley, VA, and then the Defense Intelligence Analysis Center, Bolling Air Force Base.
 - May 2004 – April 2005, Executive Director, Intelligence Community Affairs/Director, Community Management Staff, Office of the Deputy Director of Central Intelligence for Community Management, CIA HQ, Langley, VA.
 - April 2003 – May 2004, Senior Defense Intelligence Agency representative to United States European Command and the North Atlantic Treaty Organization, Patch Barracks, Vaihingen (Stuttgart), Germany.
 - November 2000 – April 2003, Defense Intelligence Agency Deputy Director for Analysis and Production, Defense Intelligence Analysis Center, Bolling Air Force Base.
 - November 1996 – November 2000, Director, Military Intelligence Staff, Defense Intelligence Agency; DIA HQ, Pentagon, Arlington, VA.
 - January 1995 – November 1995, Professional Staff Member, Technical and Tactical Intelligence Subcommittee, House Permanent Select Committee on Intelligence, Washington, DC.
 - November 1995 – November 1996, Staff Director, Technical and Tactical Intelligence Subcommittee, House Permanent Select Committee on Intelligence, Washington, DC.
 - May 1993 – January 1995, Professional Staff Member, Program and Budget Authorization Subcommittee, House Permanent Select Committee on Intelligence, Washington, DC.
 - May 1990 – May 1993, Associate, Booz-Allen and Hamilton, Vienna, VA.
 - February 1988 – May 1990, GS-12/13 Intelligence Research Specialist, Studies and Analysis Activity, US Army; Falls Church, VA.
 - October 1987 – February 1988, Unemployed and seeking work in Northern Virginia after leaving active duty.
 - May 1984 – October 1987, Captain, US Army, Field Station Augsburg, Germany. Watch Officer, Operations Battalion S-3, Assistant Field Station Operations Officer, Field Station Operations Officer.
 - October 1983 – May 1984, US Army Military Intelligence Officers' Advanced Course and Strategic Signals Intelligence Officers' Course; Fort Huachuca, AZ.
 - February 1980 – October 1983, Second Lieutenant/First Lieutenant, 504th Military Intelligence Brigade, Fort Hood, TX. Assistant S-1, 163rd Military Intelligence Battalion; Collection and Jamming Platoon Leader, 375th Army Security Agency Company; Company Executive Officer, C Company, 163rd Military Intelligence Battalion; Company Commander, Headquarters and Service Company, 303rd Military Intelligence Battalion.
 - August 1979 – February 1980, US Army Military Intelligence Officers' Basic Course (Ft. Huachuca, AZ) and Signal Intelligence/Electronic Warfare Officers' Course, Ft. Devens, MA.
 - May 1979 – August 1979, Short-order cook and waitress, Beethoven's Delicatessen, Williamsburg, VA.
9. GOVERNMENT EXPERIENCE (INDICATE EXPERIENCE IN OR ASSOCIATION WITH FEDERAL, STATE, OR LOCAL GOVERNMENTS, INCLUDING ADVISORY, CONSULTATIVE, HONORARY, OR OTHER PART-TIME SERVICE OR POSITION. DO NOT REPEAT INFORMATION ALREADY PROVIDED IN QUESTION 8):

- None

10. INDICATE ANY SPECIALIZED INTELLIGENCE OR NATIONAL SECURITY EXPERTISE YOU HAVE ACQUIRED HAVING SERVED IN THE POSITIONS DESCRIBED IN QUESTIONS 8 AND/OR 9.

- What distinguishes my expertise is its breadth. I have been responsible for intelligence collection operations, analysis and production; IT and infrastructure programs; and intelligence policy, plans and programs. I have worked in the Department of Defense, the CIA and on Capitol Hill, and I have spent a significant amount of time in community management positions, either for defense intelligence or the entire Intelligence Community. Thus, I have a very broad perspective and good understanding of the entire community, how it works together and where the seams are. One area in which I have significant specialized expertise is in programming and budgeting, something that I believe would serve me well in any executive branch position.

11. HONORS AND AWARDS (PROVIDE INFORMATION ON SCHOLARSHIPS, FELLOWSHIPS, HONORARY DEGREES, MILITARY DECORATIONS, CIVILIAN SERVICE CITATIONS, OR ANY OTHER SPECIAL RECOGNITION FOR OUTSTANDING PERFORMANCE OR ACHIEVEMENT):

- National Honor Society, Fountain-Ft. Carson High School, 1974
- Valedictorian of Fountain-Ft. Carson High School, 1975
- National Merit Scholar/National Merit Scholarship to Colby College, 1975
- Four-year ROTC scholarship to The College of William and Mary in Virginia, 1975
- Phi Alpha Theta, history honor society, 1977
- Society of Scabbard and Blade, the military science honor society, 1978
- ROTC Distinguished Military Graduate, 1979
- Army Achievement Medal, 1982
- Army Commendation Medal, 1983
- Army Achievement Medal, 1st Oak Leaf Cluster, 1987
- Meritorious Service Medal, 1987
- DIA Director's Award, 1998 (LTG Patrick Hughes)
- Presidential Rank Award of Meritorious Executive, 1999 (William J. Clinton)
- DIA Director's Award, 2003 (VADM Lowell Jacoby)
- DIA Director's Award, 2008 (LTG Michael D. Maples)
- I have also received numerous civilian performance bonuses and step increases.

12. ORGANIZATIONAL AFFILIATIONS (LIST MEMBERSHIPS IN AND OFFICES HELD WITHIN THE LAST TEN YEARS IN ANY PROFESSIONAL, CIVIC, FRATERNAL, BUSINESS, SCHOLARLY, CULTURAL, CHARITABLE, OR OTHER SIMILAR ORGANIZATIONS):

| <u>ORGANIZATION</u> | <u>OFFICE HELD</u> | <u>DATES</u> |
|--|-----------------------------|------------------------|
| Project on National Security Reform | Advisor | June 2009 - present |
| Center for Strategic and International Studies | Cybersecurity Commissioner | January 2008 - present |
| Intelligence and National Security Alliance | Member/Advisor to the Board | 1994 - present |
| Army Women's Foundation | Member of the Board | January 2009 - present |
| National Military Intelligence Association | Member | 1998 - present |
| Association of University Women | Former member | mid 1990s (est.) |
| Association of Old Crows | Former member | late 1980s - mid 1990s |

13. PUBLISHED WRITINGS AND SPEECHES (LIST THE TITLES, PUBLISHERS, AND PUBLICATION DATES OF ANY BOOKS, ARTICLES, REPORTS, OR OTHER PUBLISHED MATERIALS YOU HAVE AUTHORED. ALSO LIST ANY PUBLIC SPEECHES YOU HAVE MADE WITHIN THE LAST TEN YEARS FOR WHICH THERE IS A TEXT OR TRANSCRIPT. TO THE EXTENT POSSIBLE, PLEASE PROVIDE A COPY OF EACH SUCH PUBLICATION, TEXT, OR TRANSCRIPT):

- None (all speeches have been informal and I do not have copies). I have given numerous informal talks and speeches during the last 10 years, mostly in a classified environment, for which I do not have documentation. I destroyed all classified notes and schedules when I left government.

PART B - QUALIFICATIONS

14. QUALIFICATIONS (DESCRIBE WHY YOU BELIEVE YOU ARE QUALIFIED TO SERVE IN THE POSITION FOR WHICH YOU HAVE BEEN NOMINATED):

I have 30 years of experience in a broad range of intelligence positions, including military, executive and legislative branch experience. I have extensive experience operating effectively in the intelligence community interagency environment. My many years at DIA were focused on meeting the needs of a broad-based and demanding set of military customers, experience that I believe will be useful in establishing effective relationships with state, local and tribal partners. I have been responsible for overseeing a large and dispersed analytic community, some of whom worked directly for me and many more who did not, but who were part of the broader Defense Intelligence Community for which I served as the analytic functional manager. I believe the challenge of focusing the analytic activities of this diverse community and improving the exchange and dissemination of information among them and with their customers was good preparation for the position for which I have been nominated. I am also a good manager, with a demonstrated track record of improving organizational performance and esprit.

PART C - POLITICAL AND FOREIGN AFFILIATIONS

15. POLITICAL ACTIVITIES (LIST ANY MEMBERSHIPS OR OFFICES HELD IN OR FINANCIAL CONTRIBUTIONS OR SERVICES RENDERED TO, ANY POLITICAL PARTY, ELECTION COMMITTEE, POLITICAL ACTION COMMITTEE, OR INDIVIDUAL CANDIDATE DURING THE LAST TEN YEARS):

- I supported the Arlington County Democratic Committee by providing election literature at my polling place during the 2008 primary.
- I supported the 2008 slate of Democratic candidates in Virginia by manning a booth at the Arlington Farmer's Market, distributing Democratic literature in Arlington, and phone-banking.
- I also manned a booth at the Clarendon Farmer's Market in support of the 2009 slate of Democratic candidates in Virginia.
- I served on the Intelligence Agency Review Team for the Obama-Biden Transition during 2008 – 2009.
- Contributions:
 - \$100, Democratic National Committee (2004)
 - \$300, Democratic National Committee (2006)
 - \$230, Democratic National Committee (2008)
 - \$660, Obama for America (2008)
 - \$50, Hillary Clinton (2008)

16. CANDIDACY FOR PUBLIC OFFICE (FURNISH DETAILS OF ANY CANDIDACY FOR ELECTIVE PUBLIC OFFICE):

- None

17. FOREIGN AFFILIATIONS

(NOTE: QUESTIONS 17A AND B ARE NOT LIMITED TO RELATIONSHIPS REQUIRING REGISTRATION UNDER THE FOREIGN AGENTS REGISTRATION ACT. QUESTIONS 17A, B, AND C DO NOT CALL FOR A POSITIVE RESPONSE IF THE REPRESENTATION OR TRANSACTION WAS AUTHORIZED BY THE UNITED STATES GOVERNMENT IN CONNECTION WITH YOUR OR YOUR SPOUSE'S EMPLOYMENT IN GOVERNMENT SERVICE.)

A. HAVE YOU OR YOUR SPOUSE EVER REPRESENTED IN ANY CAPACITY (E.G. EMPLOYEE, ATTORNEY, OR POLITICAL/BUSINESS CONSULTANT), WITH OR WITHOUT COMPENSATION, A FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP.

- No

B. HAVE ANY OF YOUR OR YOUR SPOUSE'S ASSOCIATES REPRESENTED, IN ANY CAPACITY, WITH OR WITHOUT COMPENSATION, A FOREIGN GOVERNMENT OR AN ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE FULLY DESCRIBE SUCH RELATIONSHIP.

- No

C. DURING THE PAST TEN YEARS, HAVE YOU OR YOUR SPOUSE RECEIVED ANY COMPENSATION FROM, OR BEEN INVOLVED IN ANY FINANCIAL OR BUSINESS TRANSACTIONS WITH, A FOREIGN GOVERNMENT OR ANY ENTITY CONTROLLED BY A FOREIGN GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS.

- No

D. HAVE YOU OR YOUR SPOUSE EVER REGISTERED UNDER THE FOREIGN AGENTS REGISTRATION ACT? IF SO, PLEASE PROVIDE DETAILS.

- No

18. DESCRIBE ANY LOBBYING ACTIVITY DURING THE PAST TEN YEARS, OTHER THAN IN AN OFFICIAL U.S. GOVERNMENT CAPACITY, IN WHICH YOU OR YOUR SPOUSE HAVE ENGAGED FOR THE PURPOSE OF DIRECTLY OR INDIRECTLY INFLUENCING THE PASSAGE, DEFEAT, OR MODIFICATION OF FEDERAL LEGISLATION, OR FOR THE PURPOSE OF AFFECTING THE ADMINISTRATION AND EXECUTION OF FEDERAL LAW OR PUBLIC POLICY.

- None

PART D - FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST

19. DESCRIBE ANY EMPLOYMENT, BUSINESS RELATIONSHIP, FINANCIAL TRANSACTION, INVESTMENT, ASSOCIATION, OR ACTIVITY (INCLUDING, BUT NOT LIMITED TO, DEALINGS WITH THE FEDERAL GOVERNMENT ON YOUR OWN BEHALF OR ON BEHALF OF A CLIENT), WHICH COULD CREATE, OR APPEAR TO CREATE, A 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 Homeland Security's Designated Agency Ethics Official to identify potential conflicts of

interest. Identified potentials for conflicts of interests will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department's designated agency ethics official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

20. DO YOU INTEND TO SEVER ALL BUSINESS CONNECTIONS WITH YOUR PRESENT EMPLOYERS, FIRMS, BUSINESS ASSOCIATES AND/OR PARTNERSHIPS, OR OTHER ORGANIZATIONS IN THE EVENT THAT YOU ARE CONFIRMED BY THE SENATE? IF NOT, PLEASE EXPLAIN.
 - Yes
21. DESCRIBE THE FINANCIAL ARRANGEMENTS YOU HAVE MADE OR PLAN TO MAKE, IF YOU ARE CONFIRMED, IN CONNECTION WITH SEVERANCE FROM YOUR CURRENT POSITION. PLEASE INCLUDE SEVERANCE PAY, PENSION RIGHTS, STOCK OPTIONS, DEFERRED INCOME ARRANGEMENTS, AND ANY AND ALL COMPENSATION THAT WILL OR MIGHT BE RECEIVED IN THE FUTURE AS A RESULT OF YOUR CURRENT BUSINESS OR PROFESSIONAL RELATIONSHIPS.
 - None
22. DO YOU HAVE ANY PLANS, COMMITMENTS, OR AGREEMENTS TO PURSUE OUTSIDE EMPLOYMENT, WITH OR WITHOUT COMPENSATION, DURING YOUR SERVICE WITH THE GOVERNMENT? IF SO, PLEASE PROVIDE DETAILS.
 - No
23. AS FAR AS CAN BE FORESEEN, STATE YOUR PLANS AFTER COMPLETING GOVERNMENT SERVICE. PLEASE SPECIFICALLY DESCRIBE ANY AGREEMENTS OR UNDERSTANDINGS, WRITTEN OR UNWRITTEN, CONCERNING EMPLOYMENT AFTER LEAVING GOVERNMENT SERVICE. IN PARTICULAR, DESCRIBE ANY AGREEMENTS, UNDERSTANDINGS, OR OPTIONS TO RETURN TO YOUR CURRENT POSITION.
 - I have no specific agreements or understandings with any party about my plans after completing government service. I will probably once again retire and find some kind of part-time work, yet to be determined. I may return to teaching, although I have made no agreement or commitment to return to my current part-time employer.
24. IF YOU ARE PRESENTLY IN GOVERNMENT SERVICE, DURING THE PAST FIVE YEARS OF SUCH SERVICE, HAVE YOU RECEIVED FROM A PERSON OUTSIDE OF GOVERNMENT AN OFFER OR EXPRESSION OF INTEREST TO EMPLOY YOUR SERVICES AFTER YOU LEAVE GOVERNMENT SERVICE? IF YES, PLEASE PROVIDE DETAILS.
 - Not applicable
25. IS YOUR SPOUSE EMPLOYED? IF YES AND THE NATURE OF THIS EMPLOYMENT IS RELATED IN ANY WAY TO THE POSITION FOR WHICH YOU ARE SEEKING CONFIRMATION, PLEASE INDICATE YOUR SPOUSE'S EMPLOYER, THE POSITION, AND THE LENGTH OF TIME THE POSITION HAS BEEN HELD. IF YOUR SPOUSE'S EMPLOYMENT IS NOT RELATED TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED, PLEASE SO STATE.
 - My spouse's employment is not related to my potential position. He is a high school English teacher.
26. LIST BELOW ALL CORPORATIONS, PARTNERSHIPS, FOUNDATIONS, TRUSTS, OR OTHER ENTITIES TOWARD WHICH YOU OR YOUR SPOUSE HAVE FIDUCIARY OBLIGATIONS OR IN WHICH YOU OR YOUR SPOUSE HAVE HELD DIRECTORSHIPS OR OTHER POSITIONS OF TRUST DURING THE PAST FIVE YEARS.

| <u>NAME OF ENTITY</u> | <u>POSITION</u> | <u>DATES HELD</u> | <u>SELF OR SPOUSE</u> |
|---|----------------------|--------------------|-----------------------|
| Intelligence and National Security Alliance | Advisor to the Board | Oct 2008–present | Self |
| Intelligence and National Security Alliance | Member of the Board | Oct 2005–Sept 2008 | Self |
| Army Women’s Foundation | Member of the Board | Jan 2009–present | Self |
| Center for Strategic & International Studies | Commissioner | Jan 2008–present | Self |
| Commission on Cyber Security for the 44 th President | | | |
| Project on National Security Reform | Advisor | June 2009–present | Self |

27. LIST ALL GIFTS EXCEEDING \$100 IN VALUE RECEIVED DURING THE PAST FIVE YEARS BY YOU, YOUR SPOUSE, OR YOUR DEPENDENTS. (NOTE: GIFTS RECEIVED FROM RELATIVES AND GIFTS GIVEN TO YOUR SPOUSE OR DEPENDENT NEED NOT BE INCLUDED UNLESS THE GIFT WAS GIVEN WITH YOUR KNOWLEDGE AND ACQUIESCENCE AND YOU HAD REASON TO BELIEVE THE GIFT WAS GIVEN BECAUSE OF YOUR OFFICIAL POSITION.)

- None

28. LIST ALL SECURITIES, REAL PROPERTY, PARTNERSHIP INTERESTS, OR OTHER INVESTMENTS OR RECEIVABLES WITH A CURRENT MARKET VALUE (OR, IF MARKET VALUE IS NOT ASCERTAINABLE, ESTIMATED CURRENT FAIR VALUE) IN EXCESS OF \$1,000. (NOTE: THE INFORMATION PROVIDED IN RESPONSE TO SCHEDULE A OF THE DISCLOSURE FORMS OF THE OFFICE OF GOVERNMENT ETHICS MAY BE INCORPORATED BY REFERENCE, PROVIDED THAT CURRENT VALUATIONS ARE USED.)

DESCRIPTION OF PROPERTY

VALUE



29. LIST ALL LOANS OR OTHER INDEBTEDNESS (INCLUDING ANY CONTINGENT LIABILITIES) IN EXCESS OF \$10,000. EXCLUDE A MORTGAGE ON YOUR PERSONAL RESIDENCE UNLESS IT IS RENTED OUT, AND LOANS SECURED BY AUTOMOBILES, HOUSEHOLD FURNITURE, OR APPLIANCES. (NOTE: THE INFORMATION PROVIDED IN RESPONSE TO SCHEDULE C OF THE DISCLOSURE FORM OF THE OFFICE OF GOVERNMENT ETHICS MAY BE INCORPORATED BY REFERENCE, PROVIDED THAT CONTINGENT LIABILITIES ARE ALSO INCLUDED.)

- Please see Schedule C of the Public Financial Disclosure Form. Other than the mortgages on our residence and our rental property, we have no other loans or liabilities.

30. ARE YOU OR YOUR SPOUSE NOW IN DEFAULT ON ANY LOAN, DEBT, OR OTHER FINANCIAL OBLIGATION? HAVE YOU OR YOUR SPOUSE BEEN IN DEFAULT ON ANY LOAN, DEBT, OR OTHER FINANCIAL OBLIGATION IN THE PAST TEN YEARS? HAVE YOU OR YOUR SPOUSE EVER BEEN REFUSED CREDIT OR HAD A LOAN APPLICATION DENIED? IF THE ANSWER TO ANY OF THESE QUESTIONS IS YES, PLEASE PROVIDE DETAILS.

- No

31. LIST THE SPECIFIC SOURCES AND AMOUNTS OF ALL INCOME RECEIVED DURING THE LAST FIVE YEARS, INCLUDING ALL SALARIES, FEES, DIVIDENDS, INTEREST, GIFTS, RENTS, ROYALTIES, PATENTS, HONORARIA, AND OTHER ITEMS EXCEEDING \$200. (COPIES OF U.S. INCOME TAX RETURNS FOR THESE YEARS MAY BE SUBSTITUTED HERE, BUT THEIR SUBMISSION IS NOT REQUIRED.)

Redacted

32. IF ASKED, WILL YOU PROVIDE THE COMMITTEE WITH COPIES OF YOUR AND YOUR SPOUSE'S FEDERAL INCOME TAX RETURNS FOR THE PAST THREE YEARS?

- Yes

33. LIST ALL JURISDICTIONS IN WHICH YOU AND YOUR SPOUSE FILE ANNUAL INCOME TAX RETURNS.

- U.S. Federal
- Commonwealth of Virginia

34. HAVE YOUR FEDERAL OR STATE TAX RETURNS BEEN THE SUBJECT OF AN AUDIT, INVESTIGATION, OR INQUIRY AT ANY TIME? IF SO, PLEASE PROVIDE DETAILS, INCLUDING THE RESULT OF ANY SUCH PROCEEDING.

- No

35. IF YOU ARE AN ATTORNEY, ACCOUNTANT, OR OTHER PROFESSIONAL, PLEASE LIST ALL CLIENTS AND CUSTOMERS WHOM YOU BILLED MORE THAN \$200 WORTH OF SERVICES DURING THE PAST FIVE YEARS. ALSO, LIST ALL JURISDICTIONS IN WHICH YOU ARE LICENSED TO PRACTICE.

- Not applicable

36. DO YOU INTEND TO PLACE YOUR FINANCIAL HOLDINGS AND THOSE OF YOUR SPOUSE AND DEPENDENT MEMBERS OF YOUR IMMEDIATE HOUSEHOLD IN A BLIND TRUST? IF YES, PLEASE FURNISH DETAILS. IF NO, DESCRIBE OTHER ARRANGEMENTS FOR AVOIDING ANY POTENTIAL CONFLICTS OF INTEREST.

- In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Homeland Security's Designated Agency Ethics Official to identify potential conflicts of interest. Identified potentials for conflicts of interests will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department's designated agency ethics official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

37. IF APPLICABLE, ATTACH THE LAST THREE YEARS OF ANNUAL FINANCIAL DISCLOSURE FORMS YOU HAVE BEEN REQUIRED TO FILE WITH YOUR AGENCY, DEPARTMENT, OR BRANCH OF GOVERNMENT.

- I have provided the last three years of annual financial disclosure statements.

PART E - ETHICAL MATTERS

38. HAVE YOU EVER BEEN THE SUBJECT OF A DISCIPLINARY PROCEEDING OR CITED FOR A BREACH OF ETHICS OR UNPROFESSIONAL CONDUCT BY, OR BEEN THE SUBJECT OF A COMPLAINT TO, ANY COURT, ADMINISTRATIVE AGENCY, PROFESSIONAL ASSOCIATION, DISCIPLINARY COMMITTEE, OR OTHER PROFESSIONAL GROUP? IF SO, PROVIDE DETAILS.
- No
39. HAVE YOU EVER BEEN INVESTIGATED, HELD, ARRESTED, OR CHARGED BY ANY FEDERAL, STATE, OR OTHER LAW ENFORCEMENT AUTHORITY FOR VIOLATION OF ANY FEDERAL STATE, COUNTY, OR MUNICIPAL LAW, REGULATION, OR ORDINANCE, OTHER THAN A MINOR TRAFFIC OFFENSE, OR NAMED AS A DEFENDANT OR OTHERWISE IN ANY INDICTMENT OR INFORMATION RELATING TO SUCH VIOLATION? IF SO, PROVIDE DETAILS.
- Yes. I was convicted of Driving under the Influence of alcohol in the City of Fairfax General District Court in 1989. I received a 30 day suspended sentence, paid a fine, had my license suspended for six months, and was directed to attend the Fairfax Alcohol Safety Awareness Program, which I did.
40. HAVE YOU EVER BEEN CONVICTED OF OR ENTERED A PLEA OF GUILTY OR NOLO CONTENDERE TO ANY CRIMINAL VIOLATION OTHER THAN A MINOR TRAFFIC OFFENSE? IF SO, PROVIDE DETAILS.
- See question 39 above.
41. ARE YOU PRESENTLY OR HAVE YOU EVER BEEN A PARTY IN INTEREST IN ANY ADMINISTRATIVE AGENCY PROCEEDING OR CIVIL LITIGATION? IF SO, PLEASE PROVIDE DETAILS.
- In April 2006, a tenant of mine in an investment property owned by my husband and me filed a complaint with the Fairfax County Consumer Affairs Division. The complaint alleged that I did not return the tenant's security deposit. I provided evidence to the County of damage to the apartment and the repairs we had made, and the County took no further action.
42. HAVE YOU BEEN INTERVIEWED OR ASKED TO SUPPLY ANY INFORMATION AS A WITNESS OR OTHERWISE IN CONNECTION WITH ANY CONGRESSIONAL INVESTIGATION, FEDERAL, OR STATE AGENCY PROCEEDING, GRAND JURY INVESTIGATION, OR CRIMINAL OR CIVIL LITIGATION IN THE PAST TEN YEARS? IF SO, PROVIDE DETAILS.
- No
43. HAS ANY BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, DIRECTOR, OR PARTNER BEEN A PARTY TO ANY ADMINISTRATIVE AGENCY PROCEEDING OR CRIMINAL OR CIVIL LITIGATION RELEVANT TO THE POSITION TO WHICH YOU HAVE BEEN NOMINATED? IF SO, PROVIDE DETAILS. (WITH RESPECT TO A BUSINESS OF WHICH YOU ARE OR WERE AN OFFICER, YOU NEED ONLY CONSIDER PROCEEDINGS AND LITIGATION THAT OCCURRED WHILE YOU WERE AN OFFICER OF THAT BUSINESS.)
- No
44. HAVE YOU EVER BEEN THE SUBJECT OF ANY INSPECTOR GENERAL INVESTIGATION? IF SO, PROVIDE DETAILS.
- No

PART F - SECURITY INFORMATION

45. HAVE YOU EVER BEEN DENIED ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION FOR ANY REASON? IF YES, PLEASE EXPLAIN IN DETAIL.

- No

46. HAVE YOU BEEN REQUIRED TO TAKE A POLYGRAPH EXAMINATION FOR ANY SECURITY CLEARANCE OR ACCESS TO CLASSIFIED INFORMATION? IF YES, PLEASE EXPLAIN.

- Yes. I have been polygraphed three times (Counterintelligence-scope) due to the requirement for me to be read into special compartments and special access programs.

47. HAVE YOU EVER REFUSED TO SUBMIT TO A POLYGRAPH EXAMINATION? IF YES, PLEASE EXPLAIN.

- No

PART G - ADDITIONAL INFORMATION

48. DESCRIBE IN YOUR OWN WORDS THE CONCEPT OF CONGRESSIONAL OVERSIGHT OF U.S. INTELLIGENCE ACTIVITIES. IN PARTICULAR, CHARACTERIZE WHAT YOU BELIEVE TO BE THE OBLIGATIONS OF THE UNDER SECRETARY FOR INTELLIGENCE AND ANALYSIS, DEPARTMENT OF HOMELAND SECURITY AND THE INTELLIGENCE COMMITTEES OF THE CONGRESS RESPECTIVELY IN THE OVERSIGHT PROCESS.

Having worked in numerous executive branch intelligence activities and on an intelligence oversight committee staff, I have had much opportunity to consider and debate the purpose and scope of Congressional oversight of intelligence. In addition, having filled senior positions at DIA, CIA (in the Office of the Deputy Director for Community Management), and the ODNI, I have views on Intelligence Community management informed by years of experience and observation.

First, I am a firm believer in Congressional oversight of intelligence, in particular the role of the Intelligence authorizing committees. The SSCI and the HPSCI play a critical but little understood role in ensuring that intelligence activities are focused, well-managed and effective, but equally as important, that they are conducted in accordance with established law. The intelligence authorizing committees are entrusted with the nation's most sensitive information in order to safeguard the security and liberty of the citizens on whose behalf they operate.

There are understandable and inevitable tensions between the oversight committees and the Administration—any Administration. Administrations naturally desire flexibility to deal with new situations, while the committees reasonably desire assurances that they will be kept fully and currently informed as required by law. It is important that a constructive dialogue and open channels of communication are maintained between the Administration and the intelligence authorizing committees in order to develop mutually acceptable procedures for the most sensitive activities. I believe this is possible and is a goal that we should all vigorously pursue.

49. EXPLAIN YOUR UNDERSTANDING OF THE RESPONSIBILITIES OF THE UNDER SECRETARY FOR INTELLIGENCE AND ANALYSIS, DEPARTMENT OF HOMELAND SECURITY.

Every Department involved in national or homeland security has an intelligence element that serves two main purposes: to provide intelligence and analytic support to the Secretary and the Department in support of the departmental missions, and to represent the Department in the Intelligence Community's collaborative threat assessment process. Each Department has its own unique intelligence requirements that its intelligence element is expected to either fulfill directly or to orchestrate their fulfillment through a combination of internal and external sources.

Thus, I view the Undersecretary for Intelligence and Analysis as being responsible for ensuring that:

- the Secretary and the key departmental leadership have the current and relevant intelligence they need to do their jobs;
- all the intelligence elements of the department are acting in concert towards common goals and sharing information and best practices;
- the varying missions of the Department such as critical infrastructure protection and cyber security, immigration and customs enforcement, aviation, maritime and border security, domestic incident response and disaster recovery are all supported by the best possible intelligence, some of which will be produced internally but much of which will be leveraged from the appropriate experts in the Intelligence Community;
- the Department participates actively and constructively in Intelligence Community deliberations and assessments; and
- the Department's extended family of state, local and tribal law enforcement entities are part of an interactive system where trust and information flow both ways to provide robust security to the nation.

AFFIRMATION

I, Caryn A. Wagner, DO SWEAR THAT THE ANSWERS I HAVE PROVIDED TO THIS QUESTIONNAIRE ARE ACCURATE AND COMPLETE.

11/9/09
(Date)

Caryn A. Wagner
(Name)

Jacqueline Calais
(Notary)
Public District of Columbia
Commission Expires on 09/14/2011

Jacqueline Calais
Notary Public / District of Columbia
480 Airport Plaza SW
Washington, DC 20024

TO THE CHAIRMAN, SELECT COMMITTEE ON INTELLIGENCE:

In connection with my nomination to be Under Secretary for Intelligence and Analysis of the Department of Homeland Security, I hereby express my willingness to respond to requests to appear and testify before any duly constituted committee of the Senate.

A handwritten signature in cursive script, appearing to read "C. W. ...", written over a horizontal line.

Signature

Date:

11/9/09

Redacted

Redacted

Redacted