

**UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY**

QUESTIONNAIRE FOR NON-JUDICIAL NOMINEES

PUBLIC

1. **Name:** State full name (include any former names used).

Carlos Felipe Uriarte

2. **Position:** State the position for which you have been nominated.

Assistant Attorney General, Office of Legislative Affairs, U.S.

Department of Justice

3. **Address:** List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

Office: 217 Broadway, Floor 8, New York, NY 10007

Residence: Washington, DC

4. **Birthplace:** State date and place of birth.

December 10, 1979

San Leandro, California

5. **Education:** List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

University of Pennsylvania Law School, 2002 – 2005

Juris Doctor, May 2005

Washington University in St. Louis, 1998 – 2002

Bachelor of Arts, May 2002

6. **Employment Record:** List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for

your services. Include the name and address of the employer and job title or description.

April 2021 - Present
Vice President, Regulatory Counsel
Unite Us
217 Broadway, Floor 8
New York, NY 10007

May 2020 – April 2021
Chief Counsel for Investigations
Select Subcommittee on the Coronavirus Crisis
House Oversight and Reform Committee
2157 Rayburn House Office Building
Washington, DC 20515

May 2017 – May 2020
Vice President, Ethics & Investigations (March 2019 – May 2020)
Vice President, Risk Management (May 2017 – March 2019)
Capital One Financial
1680 Capital One Drive
McLean, VA 22102

July 2014 – January 2017
Associate Deputy Attorney General
US Department of Justice
Office of the Deputy Attorney General
950 Pennsylvania Avenue NW
Washington, DC 20530

May 2013 – July 2014
Senior Counsel
Department of the Interior
Office of the Secretary
1849 C Street NW
Washington, DC 20240

April 2011 – May 2013
Counsel
House Committee on Oversight and Government Reform
2471 Rayburn House Office Building
Washington, DC 20515

November 2009 – April 2011
Legislative Counsel
Representative Judy Chu

1520 Longworth House Office Building
Washington, DC 20515

September 2007 – November 2009

Associate
Crowell & Moring LLP
1001 Pennsylvania Avenue, NW
Washington, DC 20004

September 2006 – August 2007

Law Clerk
Hon. Juan R. Sánchez
United States District Court, Eastern District of Pennsylvania
601 Market Street
Philadelphia, PA 19106

Summer 2004, September 2005 – August 2006

Associate (September 2005 – August 2006)
Summer Associate (Summer 2004)
Akin Gump Strauss Hauer & Feld LLP
1333 New Hampshire Avenue, NW
Washington, DC 20036

Summer 2004

Summer Associate
Heller Ehrman LLP
San Francisco, CA
(No longer in business)

Summer 2003

Legal Intern
Hon. Marsha Berzon
United States Court of Appeals for the Ninth Circuit
95 Seventh Street
San Francisco, CA 94103

Summer 2002

Temporary Employee
Update Legal
San Francisco, CA
(No longer in business)

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I have not served in the military. I timely registered for Selective Service.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

Washington University in St. Louis, magna cum laude (2002)

University of Pennsylvania Law School, James Wilson Fellow in Law & Technology (2002)

University of Pennsylvania Law School, Moot Court Board (2003)

Crowell & Moring, Firm Citizenship Award, (2008)

The White House Office of Presidential Personnel, President's Leadership Workshop (2014)

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

California Bar (2005 - Present)

DC Bar (2006 - Present)

American Bar Association

Hispanic National Bar Association

Hispanic Bar Association of DC

The National LGBTQ+ Bar Association

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

California, admitted November 2005

(Bar membership suspended for lack of dues from September 2010 to June 2013, due to the fact that I was not practicing law in California). Since 2013 I have been in good standing.

Washington, DC, admitted August 2006

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

None.

11. **Memberships:**

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Society of Corporate Compliance and Ethics (2019 – 2020)
International Association of Privacy Professionals (2020 – Present)

- b. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

To my knowledge, none of these organizations discriminates or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies.

12. **Published Writings and Public Statements:**

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

I have done my best to identify all books, articles, letters to the editor, editorial pieces and other published material, including through a review of my personal files and searches of publicly available electronic databases. Despite my searches, there may be other materials that I have been unable to identify, find, or remember. I have located the following:

Desegregation and Student Performance: Saint Louis Case Study, Washington University in St. Louis, Department of Economics, Undergraduate Thesis (2005). Unable to locate.

Letter to the Editor, Daily Pennsylvanian (2003). Unable to locate.

Medical Device Lawsuit Watch, Crowell & Moring LLP (March 24, 2009) Copy supplied.

Medical Device Lawsuit Watch, Crowell & Moring LLP (June 29, 2009). Copy supplied.

Medical Device Lawsuit Watch, Crowell & Moring LLP (August 28, 2009). Copy supplied.

Why I Vote: The Day I Made My Teacher Cry, Personal Blog, Capital One Financial (October 31, 2018). Copy supplied.

How We Will Remember Our Boss, Chairman Elijah Cummings: Moral Clarity in All He Did, USA Today (October 25, 2019). Copy supplied.

What I Learned Burying My Hero, Personal Blog, Capital One Financial (November 4, 2019). Copy supplied.

During law school, I contributed as a research assistant to the following articles, although I did not otherwise contribute to the content or edit either article. While these may not be responsive, I am nevertheless providing copies to the Committee:

Austin, Regina, *Back to Basics: Returning to the Matter of Black Inferiority and Back to Basics: Returning to the Matter of Black Inferiority and White Supremacy in the Post-Brown Era*, *The Journal of Appellate Practice and Process*, vol. 6, issue 1 (2004). Copy supplied.

Austin, Regina, *Of Predatory Lending and the Democratization of Credit: Preserving the Social Safety Net of Informality in Small-Loan Transactions*, *American University Law Review* 53, no.6 (August 2004). Copy supplied.

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

I have done my best to identify any reports, memoranda, or policy statements I have prepared or contributed to, including through a review of my personal files and searches of publicly available electronic databases.

While I have not located any responsive material, I did identify two letters and an amicus curie brief I joined in my individual capacity:

Brief of 13,922 Current Law Students at Accredited American Law Schools as Amici Curiae in Support of Respondents, *Grutter v. Bollinger*, No. 02-241 (U.S. Feb. 18, 2003). Copy supplied.

DOJ Alumni Statement on the Events Surrounding the Sentencing of Roger Stone, Medium (February 16, 2020). Copy supplied.

DOJ Alumni Statement on Flynn Case, Medium (May 11, 2020). Copy supplied.

- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

I have done my best to identify any testimony, official statements, or other communications related, in whole or in part, to matters of public policy or legal interpretation, including through a review of my personal files and searches of publicly available electronic databases. I have located the following:

I testified before the Senate Judiciary Committee as a representative of the U.S. Department of Justice on the Inspector General Act of 1978. (August 5, 2015). Video recording available here: <https://www.judiciary.senate.gov/meetings/all-means-all-the-justice-departments-failure-to-comply-with-its-legal-obligation-to-ensure-inspector-general-access-to-all-records-needed-for-independent-oversight>. Copies of written statement supplied.

I participated in a business presentation in front of the Centers for Disease Control and Prevention Community of Practice for Chronic Disease Prevention (November 18, 2021).

I could not locate any recordings or transcripts of this event.

I testified before the New Hampshire Senate Health and Human Services Committee regarding New Hampshire Senate Bill 423-FN (January 27, 2022). Video recording available here: https://www.youtube.com/watch?v=xLU0lZW_ibc

I participated in a business presentation in front of the Office of the National Coordinator for Health Information Technology's Health IT Advisory Committee (March 10, 2022)

Audio recording available here:

<https://www.healthit.gov/hitac/events/health-it-advisory-committee-43>

I testified before the New Hampshire House Health, Human Services and Elderly Affairs Committee regarding New Hampshire Senate Bill 423-FN (April 12, 2022).

Video recording available here:

<https://www.youtube.com/watch?v=e9aJRL-1ob8>

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel

discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

I have done my best to identify transcripts or recordings of all speeches or talks delivered, including through a review of my personal files and searches of publicly available electronic databases. I frequently speak without notes or speak from a handwritten outlines that I did not retain. Despite my searches, there may be other materials I have been unable to identify, find, or remember. I have located the following:

Employment with Impact: Transitioning to a Career in Government & Public Policy, University of Pennsylvania Law School (June 13, 2014).
<https://www.law.upenn.edu/live/news/4815-employment-with-impact-transitioning-to-a-career>

Hispanic Heritage Month Celebration, U.S. Department of Justice (2015). No notes or transcripts retained.

Panel Discussion, Out & Equal Workplace Summit (2019). No notes or transcripts retained.

Speaker, Out & Equal Workplace Summit Gala (2019). No notes or transcripts retained.

Product Experience Summit, Capital One Financial (2019). No notes or transcripts retained.

Virginia Values Forum, Equality Virginia (2019). No notes or transcripts retained.

Out Front Quarterly Leadership Breakfast, Capital One Financial (2019). No notes or transcripts retained.

Commonwealth Dinner, Equality Virginia (2019). No notes or transcripts retained.

Panel Discussion, Hispanic Heritage Month, Unite Us (2021). No notes or transcripts retained.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

I have done my best to identify all interviews given, including through a review of my personal files, and searches of publicly available electronic databases. Despite my searches, there may be other materials that I have been unable to identify, find, or remember. I have located the following:

Alumni Profile, Career Planning & Professionalism Office, University of Pennsylvania Law School (March 2009).
<https://issuu.com/pennlawits/docs/cpp2009/26>

Always Akin Alumni Network, Spotlight On . . . Carlos Uriarte, Vice President, Regulatory Counsel, Unite US (March 29, 2022). Copy supplied.

- f. If applicable, list all published judicial opinions that you have written, including concurrences and dissents. Supply the citations for all published judicial opinions to the Committee.

I have never served as a judge.

13. Public Office, Political Activities and Affiliations:

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

I have not run for public office.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

I have never been employed by a political campaign. I volunteered for the Biden-Harris campaign in the Spring of 2020. In addition, I have volunteered with a variety of Democratic campaigns over the years, distributing literature, helping organize campaign events, doing research, and serving as an election protection volunteer lawyer, including to the best of my recollection during the presidential campaigns of 2004, 2008, 2012, and 2020.

14. Legal Career: Answer each part separately.

- a. Describe chronologically your law practice and legal experience after

graduation from law school including:

- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

I served as a judicial law clerk for the Honorable Juan R. Sánchez on the United States District Court for the Eastern District of Pennsylvania from September 2006 – August 2007.

- ii. whether you practiced alone, and if so, the addresses and dates;

I have not practiced alone

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

Summer 2002
Temporary Employee
Update Legal
San Francisco, CA
(No longer in business)

Summer 2003
Legal Intern
Hon. Marsha Berzon
United States Court of Appeals for the Ninth Circuit
95 Seventh Street
San Francisco, CA 94103

Summer 2004
Summer Associate
Heller Ehrman LLP
San Francisco, CA
(No longer in business)

Summer 2004, September 2005 – August 2006
Associate (September 2005 – August 2006)
Summer Associate (Summer 2004)
Akin Gump Strauss Hauer & Feld LLP
1333 New Hampshire Avenue, NW
Washington, DC 20036

September 2006 – August 2007
Law Clerk
Hon. Juan R. Sánchez

United States District Court, Eastern District of Pennsylvania
601 Market Street
Philadelphia, PA 19106

September 2007 – November 2009
Associate
Crowell & Moring LLP
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Washington, DC 20004

November 2009 – April 2011
Legislative Counsel
Representative Judy Chu
1520 Longworth House Office Building
Washington, DC 20515

April 2011 – May 2013
Counsel
House Committee on Oversight and Government Reform
2471 Rayburn House Office Building
Washington, DC 20515

May 2013 – July 2014
Senior Counsel
Department of the Interior
Office of the Secretary
1849 C Street NW
Washington, DC 20240

July 2014 – January 2017
Associate Deputy Attorney General
US Department of Justice
Office of the Deputy Attorney General
950 Pennsylvania Avenue NW
Washington, DC 20530

May 2017 – May 2020
Vice President, Ethics & Investigations (March 2019 – May 2020)
Vice President, Risk Management (May 2017 – March 2019)
Capital One Financial
1680 Capital One Drive
McLean, VA 22102

May 2020 – April 2021
Chief Counsel for Investigations
Select Subcommittee on the Coronavirus Crisis

House Oversight and Reform Committee
2157 Rayburn House Office Building
Washington, DC 20515

April 2021 - Present
Vice President, Regulatory Counsel
Unite Us
217 Broadway, Floor 8
New York, NY 10007

- iv. Whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I have not served as a mediator or arbitrator.

- v. Whether you have held any judicial office, including positions as an administrative law judge, on any U.S. federal, state, tribal, or local court and if so, please provide the name of the court, the jurisdiction of that court, whether the position was appointed or elected, and the dates of your service.

I have not held any judicial office.

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

My law practice currently focuses regulatory and policy issues that affect the health care and technology sectors, including privacy, data security, and data ethics. From 2017 – 2017, I worked on legal regulatory and compliance issues in the financial services sector. From 2009 to 2017, I worked on a variety of legal and policy issues in the public sector, where I primarily focused on criminal justice and national security issues as well as Congressional investigations. From 2007 to 2009 I worked as an antitrust and white-collar lawyer at a large law firm. From 2005 to 2006 I worked as a telecommunications lawyer at a large law firm.

- ii. Your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

The majority of my legal career has been spent either in the public sector, or working in-house for individual companies.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency

of your appearances in court varied, describe such variance, providing dates.

My law practice has not focused on litigation.

i. Indicate the percentage of your practice in:

1. federal courts:
2. state courts of record:
3. other courts:
4. administrative agencies:

ii. Indicate the percentage of your practice in:

1. civil proceedings:
2. criminal proceedings:

d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

I have tried no cases to verdict, judgment, or final decision.

i. What percentage of these trials were:

- | | |
|--------------|-----|
| 1. jury: | n/a |
| 2. non-jury: | n/a |

e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I have not practiced before the Supreme Court.

15. **Litigation:** Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- a. the date of representation;
- b. the name of the court and the name of the judge or judges before whom the

case was litigated; and

- c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

While my practice has not focused on litigation, I was counsel of record on the following brief:

Memorandum Amici Curiae of Representatives Elijah E. Cummings, John Conyers, Jr., Henry A. Waxman, Edolphus Towns, and Louise M. Slaughter in Support of Dismissal, Comm. on Oversight & Gov't Reform v. Holder (D.D.C. 2013) (No. 1:12- cv-1332).

16. **Legal Activities:** Describe the most significant legal activities you have pursued including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

My law practice currently focuses regulatory and policy issues that affect the health care and technology sectors, including privacy, data security, and data ethics. In my current role I have testified in front of the New Hampshire Senate and presented as a subject matter expert for staffers in the United States Senate as well as advisory committees to the Centers for Disease Control and the Office of the National Coordinator.

From 2017 – 2017, I worked on legal regulatory and compliance issues in the financial services sector. From 2009 to 2017, I worked on a variety of legal and policy issues in the public sector, where I primarily focused on criminal justice and national security issues as well as Congressional investigations. From 2007 to 2009 I worked as an antitrust and white-collar lawyer at a large law firm. From 2005 to 2006 I worked as a telecommunications lawyer at a large law firm.

17. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

I have not taught any courses.

18. **Deferred Income/ Future Benefits:** List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former

employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

I have 192 shares of unvested Capital One restricted stock units which will automatically vest on February 15, 2023.

19. **Outside Commitments During Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service? If so, explain.

None.

20. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

Please see my SF-278 as provided by the Office of Government Ethics.

21. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

22. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, affiliations, pending and categories of litigation, financial arrangements or other factors that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

During the nomination process, I consulted with the Department of Justice's ethics office and Designated Ethics Officer to identify any potential conflicts. If I am confirmed, I will continue to consult with that office and will recuse myself from any matter in which recusal is required.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

If I am confirmed, any potential conflict of interest will be resolved in accordance with the terms of an ethics agreement that I have entered with the Department's designated agency ethics official. If confirmed, I will continue to consult with the Department of Justice's ethics office and will recuse myself from any matter in which recusal is required.

23. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional work load, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each. If you are not an attorney, please use this opportunity to report significant charitable and volunteer work you may have done.

During my time at a private law firms I devoted significant time to pro bono matters. Since I moved to the public sector in 2009, I have not actively participated in pro bono legal services. Since 2017, I have been actively involved with volunteering with non-profit organizations, including serving as a board member for Equality Virginia from 2018 – 2020.