

Instructions for the nominees: The Senate Committee on Commerce, Science, and Transportation asks you to provide typed answers to each of the following questions. It is requested that the nominee type the question in full before each response. Do not leave any questions blank. Type "None" or "Not Applicable" if a question does not apply to the nominee. Return printed answers to Committee. Begin each section (i.e., "A", "B", etc.) on a new sheet of paper.

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

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

Michael Winston Raymond (nickname: Joe)

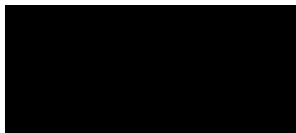
2. Position to which nominated:

Rear Admiral, Lower Half

3. Date of Nomination:

September 8, 2020

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



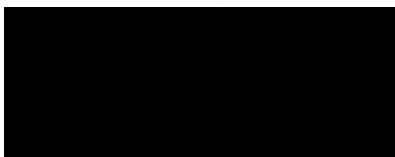
Office Address:
470 L'Enfant Plaza East, SW
Room 7110
Washington, DC 20024-2135

5. Date and Place of Birth:

2 June 1969 in Albuquerque, New Mexico

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; do not provide birth dates).

Spouse: Kristi Lynn Raymond, Adjunct Professor, Bellevue College, Bellevue, WA



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

1987-1991 – U.S. Guard Academy, BS in Government

1995-1996 – Joint Military Intelligence College (now known as the National Intelligence University), MS in Strategic Intelligence

1996-1998 – U. S. Naval War College, Naval Command and Staff (JPME 1)

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.

I have served as a Coast Guard officer since 22 May 1991. Please see my official Coast Guard biography for detailed information.

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.

Kiwanis Club of St. Marys (Georgia) – 2009-2011

This organization does not restrict 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)? If so, indicate whether any campaign has any outstanding debt, the amount, and whether you are personally liable for that debt.

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.

1995 – Coast Guard Achievement Medal

1999 – Meritorious Service Medal

2001 – Coast Guard Commendation Medal

2001-2004 – Coast Guard Fellow with the Senate Committee on Commerce, Science, and Transportation

2004 – Meritorious Service Medal

2006 – Meritorious Service Medal

2008 – Defense Meritorious Service Medal

2011 – Meritorious Service Medal

2013 – Meritorious Service Medal

2016 – Named an Honorary Chief Petty Officer

2017 – Legion of Merit

2019 – Legion of Merit

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.

Articles

“Coast Guard Counternarcotics Operations,” *Studies in Intelligence*, May 1999.

“The Senate Investigation into the Loss of the Titanic,” *Proceedings of the Marine Safety & Security Council, the Coast Guard Journal of Safety & Security at Sea*, Summer 2012.

https://www.dco.uscg.mil/Portals/9/DCO%20Documents/Proceedings%20Magazine/Archive/2012/Vol69_No2_Sum2012.pdf?ver=2017-05-31-120748-633

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 (active) – joe.raymond2

LinkedIn (active) – linkedin.com/in/joe-raymond-a2822b11

Twitter (active) – @joeray904

Instagram (active) – mwraymond

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?

I entered the Coast Guard Academy in 1987 with a strong desire to serve my country and assist my fellow citizens in need and this desire has only continued to grow in the many years since then. I have been fortunate in my Coast Guard career to have been afforded a series of increasingly more complex responsibilities from the operational level to the strategic as I have progressed through the officer ranks over the past 29 years. I have served afloat four times, including two times as a cutter commanding officer. Ashore, I have served twice in command, including from 2014-2017 as the Sector Commander and Captain of the Port for Coast Guard Sector Puget Sound based in Seattle, WA. During my staff assignments, I have served three times in Coast Guard Congressional Affairs and was selected to serve as the Coast Guard military assistant to the Director of Net Assessment within the Office of the Secretary of Defense. From 2017-2019, I then served as the Executive Assistant to the 30th and 31st Vice Commandants of the Coast Guard assisting them in carrying out their responsibilities as Vice Service Chief, Chief Operating Officer, and Component Acquisition Executive.

These assignments have enabled me to grow as a leader from the tactical to the strategic level, serve across a very geographically diverse set of units, and conduct every Coast Guard mission, with the exception of icebreaking. Additionally, the Coast Guard has afforded me the opportunity to earn my Master of Science in Strategic Intelligence from the Joint Military Intelligence College (now known as the National Intelligence University) and attend the U.S. Naval War College, College of Command and Staff.

Along the way I have been very fortunate to have served with and worked for many gifted leaders, invaluable mentors, and countless talented senior enlisted leaders who have all taught me many valuable lessons. I want to follow in their footsteps and lead our personnel in achieving their full potential. I feel well prepared to take on the responsibilities as a flag officer and I look forward to continuing serve our country and ensure our Coast Guard personnel have the training, resources, and leadership they need to conduct the Coast Guard's vital missions.

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?

If confirmed, I understand that I will play a key role in ensuring the Coast Guard maintains proper management and accounting controls. This is a solemn trust we have with our fellow citizens, who pay for our Service through their hard-earned taxes and I take this responsibility seriously. I believe my 29 years of service in a variety of increasingly more challenging assignments have prepared me well to accept this responsibility. In particular, my four commanding officer assignments have reinforced the values of responsibility and accountability as well as the importance of audits and accounting controls. Additionally, I believe my two most recent assignments have prepared me particularly well to assist in managing and leading at the service/agency level. When I served as the Sector Commander and Captain of the Port for Sector Puget Sound, I was responsible for more than 850 Coast Guard personnel across 15 subunits spanning an area of responsibility that covered three states. After that, I served as the Executive Assistant for the 30th and 31st Vice Commandants of the Coast Guard, where I gained valuable insights and experience at the service level assisting these admirals in carrying out their vast responsibilities as Vice Service Chief, Chief Operating Officer, and Component Acquisition Executive.

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

I believe one of the biggest challenges facing the Coast Guard relates to our most important resource - our people and that includes our active duty, reserves, civilians, contractors, and our all-volunteer Auxiliary. Our Service is unique in that we grow our military workforce from the bottom up and the decisions we make today have

twenty and thirty year impacts. I believe we are facing looming challenges in recruiting and retaining the workforce we will need over the next couple of decades. The blended retirement system (BRS) and the decreasing percentage of eligible young people with a propensity to serve will require the Coast Guard to significantly improve its ability to attract and recruit a much more expansive pool of potential military members and civilians. To do this, we must proactively recruit a more diverse workforce that better represents our Nation and inspire them to join the Coast Guard. Recruiting will not be enough, as we must then retain our personnel through the completion of their successful careers. To accomplish this, I believe we must fully embrace inclusion, instill a greater emphasis on using technology, better train and educate our workforce, provide additional flexibility for our members, better support them and their families, and provide additional incentives for arduous duties. The personnel decisions we make today will determine who will lead the Coast Guard in the decades to come and how well the Coast Guard will be able to conduct its missions.

I also believe ensuring the Coast Guard's operational readiness is imperative to enabling our mission accomplishment both today as well as into the future. Over the past two decades, we have made significant investments in our cutter, boat, and aviation assets, but we must continue to ensure our Service's readiness to operate them. I believe our readiness includes properly maintaining our increasingly more complex assets while ensuring our personnel have the modern and resilient shore and C5IT infrastructure they need to support them. Specific to our workforce, we must take care of our personnel and their families as well as provide them with the training and education they will need to support an increasingly more technologically advanced service. I believe the Coast Guard is at an inflection point and we need to make these key investments to ensure we have right support and resources necessary to continue providing a high level of service to our Nation.

Lastly, I firmly believe the Coast Guard needs to embrace a digital transformation to better harness the convergence of rapidly changing technology and the vast array of available data with increasingly innovative approaches to using them. This is not simply buying new technology or devices, but rather innovating and learning how to use this knowledge to support and conduct Coast Guard operations much differently than we do today. I envision a Coast Guard where we repair or replace a key aircraft component before we suffer a class-wide failure, conduct focused industry inspections that minimize disruptions to the maritime transportation system, identify and correct problematic waterway locations before there is major marine casualty, and consistently place our operational assets in the right place, at the right time to serve our Nation. This transformation will require a Service-wide commitment, prudent investments, constant experimentation, and probably most importantly strong leadership throughout the Service from the top all the way down to our front-line leaders.

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? If so, please explain.

No

3. Indicate any investments, obligations, liabilities, or other relationships which could involve potential conflicts of interest in the position to which you have been nominated. 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? If yes:
 - a. Provide the name of agency, association, committee, or group;
 - b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;
 - c. Describe the citation, disciplinary action, complaint, or personnel action.
 - d. Provide the results of the citation, disciplinary action, complaint, or personnel action

No

2. Have you ever been investigated, arrested, charged, or held by any Federal, State, or other law enforcement authority of any Federal, State, county, or municipal entity, other than for a minor traffic offense? If so, please explain.

No

3. Have you or any business or nonprofit of which you are or were an officer ever been involved as a party in an administrative agency proceeding, criminal proceeding, or civil litigation? If so, please explain.

No

4. Have you ever been convicted (including pleas of guilty or *nolo contendere*) of any criminal violation other than a minor traffic offense? If so, please explain.

No

5. Have you ever been accused, formally or informally, of sexual harassment or discrimination on the basis of sex, race, religion, or any other basis? If so, please explain.

No

6. 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.

In the Spring of 1995, while serving as the Executive Officer of a Coast Guard patrol boat in Puerto Rico, my commanding officer and I were accused by a second class petty officer, who we were discharging for alcohol abuse and other performance issues, of cruelty and "alcohol abuse." Coast Guard Greater Antilles Section (now known as Coast Guard Sector San Juan) assigned an investigating officer, who comprehensively investigated these charges and found them groundless. The petty officer was discharged shortly thereafter.

D. RELATIONSHIP WITH COMMITTEE

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

I will.

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?

I will.

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?

I will.

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?

I will.


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

F. AFFIDAVIT

Michael W. Raymond being duly sworn, hereby states that he has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his knowledge, current, accurate, and complete.


Signature of Nominee

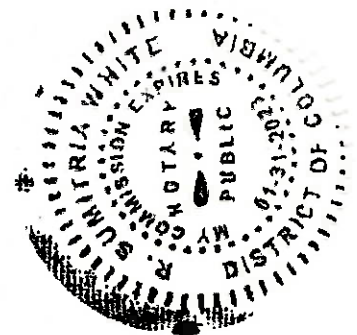
Subscribed and sworn before me this 17 day of September, 2020


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 9/31/2020





Captain M. W. (Joe) Raymond
Chief of Congressional and Governmental Affairs



Captain Raymond serves as the Chief of Congressional and Governmental Affairs for the U.S. Coast Guard. In this role, he is responsible for leading the Coast Guard's external engagement with Congress and promoting the Coast Guard's legislative agenda. Prior to this assignment, he served as the Executive Assistant to the 30th and 31st Vice Commandants of the U.S. Coast Guard, assisting them in carrying out their duties as the Vice Service Chief, Chief Operating Officer, and Component Acquisition Executive.

Captain Raymond is a native of Williamsburg, Virginia and graduated with honors from the U.S. Coast Guard Academy in 1991. He received his Master of Science of Strategic Intelligence from the Joint Military Intelligence College and graduated with distinction from the U.S. Naval War College, College of Naval Command and Staff.

Captain Raymond is a Cutterman and his afloat assignments include Deck Watch Officer on Coast Guard Cutter *NORTHLAND* (WMEC 904) in Portsmouth, Virginia; Executive Officer of Coast Guard Cutter *ATTU* (WPB 1317) in San Juan, Puerto Rico; Commanding Officer of Coast Guard Cutter *SAPELO* (WPB 1314) in Key West, Florida; and Commanding Officer and Plankowner of Coast Guard Cutter *SHAMAL* (WPC 13) in Pascagoula, Mississippi.

Captain Raymond has also served operationally ashore as the Commanding Officer of Coast Guard Maritime Force Protection Unit (MFPU) Kings Bay and the Deputy Sector Commander for Sector Puget Sound. From 2014 – 2017, he served as the Sector Commander and Captain of the Port for Coast Guard Sector Puget Sound, where he was responsible for all Coast Guard operations in the top two-thirds of Washington State, the top third of Idaho, and all of Montana, as well as along the 125-mile long international maritime border with Canada.

In addition to his operational assignments, Captain Raymond has served in a diverse set of staff assignments. As a mid-grade officer, he completed a three-year detail with the staff for the U.S. Senate Committee on Commerce, Science, and Transportation. He later returned to Capitol Hill to serve as the Coast Guard Liaison to the U.S. Senate and afterwards as the Deputy Chief of Coast Guard Congressional and Governmental Affairs. He also served in the Office of Intelligence at Coast Guard Headquarters and as the Coast Guard Military Assistant to the Director of Net Assessment, within the Office of the Secretary of Defense.

Captain Raymond's military awards include two Legions of Merit, the Defense Meritorious Service Medal, five Meritorious Service Medals, the Coast Guard Commendation Medal, the Coast Guard Achievement Medal, as well as various unit and campaign awards.

Captain Michael W. Raymond

Current Assignment

2019 – Present CG Congressional Affairs, Chief, CAPT

Assignment History

2017 – 2019 Coast Guard HQ, Executive Assistant to the Vice Commandant, CAPT
2014 – 2017 CG Sector Puget Sound, Sector Commander, CAPT
2013 – 2014 CG Sector Puget Sound, Deputy Sector Commander, CAPT
2012 – 2013 CG Congressional Affairs, Deputy Chief, CDR/CAPT
2011 – 2012 CG Congressional Affairs, CG Senate Liaison, CDR
2008 – 2011 CG MFPU Kings Bay, Commanding Officer, CDR
2006 – 2008 Officer of the Secretary of Defense/Net Assessment, Military Assistant, LCDR/CDR
2004 – 2006 USCGC SHAMAL, Commanding Officer, LCDR
2001 – 2004 CG Congressional Affairs, CG Fellow Senate Commerce Committee, LT/LCDR
1999 – 2001 USCGC SAPELO, Commanding Officer, LT
1996 – 1999 Coast Guard Headquarters, Intelligence Staff Officer, LT
1995 – 1996 Joint Military Intelligence College, Graduate Student, LTJG/LT
1993 – 1995 USCGC ATTU, Executive Officer, LTJG
1991 – 1993 USCGC NORTHLAND, Deck Watch Officer, ENS/LTJG

Educational Summary

1996 – 1998 Naval War College, Naval Command and Staff (JPME 1)
1995 – 1996 Joint Military Intelligence College, MS in Strategic Intelligence
1987 – 1991 U.S. Coast Guard Academy, BS in Government

Military Personal Awards and Significant National Recognition or Achievement

1995 Coast Guard Achievement Medal
1999 Meritorious Service Medal
2001 Coast Guard Commendation Medal
2004 Meritorious Service Medal
2006 Meritorious Service Medal
2008 Defense Meritorious Service Medal
2011 Meritorious Service Medal
2013 Meritorious Service Medal
2016 Named an Honorary Chief Petty Officer
2017 Legion of Merit
2019 Legion of Merit

Significant Current Professional Credentials or Recent Activities

2014 Type 3 Incident Commander Qualification