

**Senate Commerce Committee Coast Guard Nominee Questionnaire
117th Congress**

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


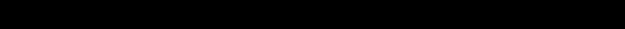
1. Name (Include any former names or nicknames used): Matthew (Matt) William Lake
2. Position to which nominated: Rear Admiral Lower Half (O7)
3. Date of Nomination: 26 August 2022
4. Address (List current place of residence and office addresses):

Residence (Owned):



Office:

U.S. Coast Guard (CG-DCMS-EA)
2703 Martin Luther King Jr. Ave SE
Washington, DC 20593-0007

5. Date and Place of Birth: Bethpage, New York, July 20, 1972
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).
 - A. Joanna Edith Marie Lake (spouse); Executive Assistant to the President, Community Action Council of Howard County, MD
 - B. 
 - C. 

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

2016 – Massachusetts Institute of Technology (MIT), Master of Business Administration

1999 – University of Michigan, Master of Science, Naval Architecture & Marine Engineering

1999 – University of Michigan, Master of Science in Engineering, Mechanical Engineering

1995 – U.S. Coast Guard (USCG) Academy, Bachelor of Science, Naval Architecture & Marine Engineering

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 commissioned officer in the U.S. Coast Guard since 1995. 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 religiously affiliated 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 disability.

- A. Member: USCG Academy Alumni Association; 2021 to present
- B. Member: American Society of Naval Engineers; 2016 to present
- C. Member: American Society of Military Comptrollers; 2016 to present
- D. Member: New Era Academy Transportation Technology, Board of Advisors; 2016-2019 (membership associated with my position as USCG Yard Commanding Officer)
- E. Member: Boy Scouts of America; 2013-2015 & 2017-2018; served as a Den Leader in 2014.

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)? 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 \$200 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.

2018, Institute for Defense & Business - General William Tuttle Award for Business Acumen in Defense & Government
2018, Association of Government Accountants, Government Financial Manager Certification (CGFM)
2017, DHS Senior Acquisition Program Manager Certification
2015, Massachusetts Institute of Technology Sloan Fellowship
2013, U.S. Secretary of Homeland Security Outstanding Service Award
2010, American Society of Naval Engineers Perry Award
2007, USCG Chief Financial Officer Award
1996, U.S. Surface Navy Association Admiral Schonland Award
1995, USCG Vice Admiral J.J. McClelland Award

Military Medals:

Legion of Merit (x2)
Meritorious Service Medal (x5)
USCG Commendation Medal
USCG Achievement Medal

17. Please list each book, article, column, Internet blog posting, or other 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.

- A. Published, "Preliminary Design of Buoy Mounted Oil Sensor System," Marine Technology Journal (Society of Naval Architecture and Marine Engineers), Jan 1996. Link: [Feasibility Study and Preliminary Design of a Channel Buoy Mounted Oil Sensor System | Marine Technology and SNAME News | OnePetro](#)
- B. Published, "Hydrodynamic Coefficient Estimation of Tension Leg Platform (TLP) and Spar Structures," Journal of Offshore Mechanics and Arctic Engineering, May 2000. Link: [Hydrodynamic Coefficient Estimation for TLP and Spar Structures | J. Offshore Mech. Arct. Eng. | ASME Digital Collection](#)
- C. Published, "Sustaining Morale on Patrol: an Engineer's Perspective," USCG Leadership News, Mar 2002.
- D. Published, "Improving Reliability of 175' Coastal Buoy Tender Main Diesel Engines," USCG Systems Times, Jul 2002.
- E. Published, "Implementing the New Coast Guard Logistics Model," Journal of American Society of Naval Engineers, Sep 2010.

18. List all 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.

A. Facebook: <https://www.facebook.com/matt.lake.1420>

B. LinkedIn: <https://www.linkedin.com/in/matthewlake1/>

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 Coast Guard, 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?

If I am confirmed as a Flag Officer, I will be expected to help lead the Coast Guard through an unquestionably historic and dynamic period of our history. I have had the honor to serve for more than 27 years in a range of assignments, including cutter and shore-based operational units, mission support commands, and staff positions in budgeting, financial management, and acquisitions. I believe my education, training, and experience make me well-qualified for this new role.

In my current position, I perform chief of staff duties for the Deputy Commandant of Mission Support, the Vice Admiral that leads a 17,000 person workforce responsible for all engineering, acquisitions, human resources, training, C5I systems, operational logistics, and infrastructure. This assignment has afforded me the opportunity to participate in some of the most consequential decisions impacting our Service’s future, as well as develop a strong understanding of the broad range of mission support activities that facilitate Coast Guard operations.

In past assignments I served in the Office of Budget and Programs, building and supporting the Coast Guard’s budget request to Congress, working with DHS, OMB, and Congressional staffs. I later performed similar duties while assigned to DHS. As a more senior officer, I supervised the Coast Guard’s

\$30+ billion surface vessel acquisition programs during the largest shipbuilding effort since World War II. These assignments helped me build experience in resource management, budgeting, acquisitions, the operation of federal government, and the importance of accountability.

One of my most formative assignments was my tenure as the Commanding Officer of the USCG Yard in Baltimore, MD. I had the privilege of leading 700 military and civilian personnel, operating the USCG's only shipyard and largest industrial facility in DHS, breathing new life into aging Coast Guard cutters and supporting crews across our Service. This assignment helped me develop an incredible appreciation of the unwavering patriotism, spirit, and dedication of our diverse workforce – including civilians that have served in the Coast Guard for over 50 years.

Each day tens of thousands of Coast Guard personnel carry out missions of tremendous value to the U.S. and to humanity, often at great personal sacrifice. I wish to serve as a Flag Officer to continue to serve alongside and empower Coast Guard personnel to meet the needs of our Nation. From my perspective, there are few things more humbling and rewarding than to be entrusted to lead them.

21. What do you believe are your responsibilities, if confirmed, to ensure that the Coast Guard has proper management and accounting controls, and what experience do you have in managing a large organization?

As a Coast Guard Officer, and especially as a Flag Officer, I believe accountability, to include proper management and accounting controls, is essential to maintain public trust and comply with my oath of office. All senior leaders must hold themselves, their peers, and those they lead accountable to the highest standards of conduct and performance.

As Commanding Officer of the USCG Yard, I was responsible for operating the USCG's only Industrial Working Capital Fund, generating \$120M per year in revenue to support all shipyard operations, including pay and compensation of the workforce. During this assignment I established and maintained accounting controls unique to this organization in order to ensure accountability and transparency to customers (both USCG and other government agencies) and the public. I also oversaw the Yard's long range strategy, all aspects of daily operations, and workforce development. During my tenure, I led efforts to re-shape the 600-person civilian workforce, improving leadership accountability within the shipyard and diversity amongst middle and senior-level management. This directly resulted in a 20% increase in Yard production output, and an improved sense of empowerment and belonging across the workforce.

In my prior assignment overseeing USCG surface acquisitions, I led a geographically distributed 383-person workforce located in Washington, DC and at shipyards around the U.S. In this position, I was responsible for managing the USCG's most important shipbuilding programs. In my current assignment, I help manage a 17,000-person mission support workforce, including personnel across the continental U.S., and as far away as Guam. My current assignment has provided me the opportunity to help implement policies that will improve workforce diversity, bolster leadership accountability, and reshape our workforce to best meet the challenges of our future.

If I am confirmed, I will remain accountable, maintaining public trust and upholding my oath of office.

22. What do you believe to be the top three challenges facing the Coast Guard, and why?

The leading challenge facing the Coast Guard is the evolving nature of work and workers, coupled with a shrinking population of citizens eligible and willing to serve in the military. This challenge is exacerbated by the need for increased technological acumen within our military workforce to operate modern and more complex assets and systems. This problem set requires the Service to adopt a new approach to workforce recruiting, retention and development, and re-think our military workforce management construct that has remained relatively unchanged since the end of World War II. In order to remain the world's best Coast Guard, we must develop a construct that is increasingly flexible, allowing flow in and out of the Service that better aligns to the expectations of our people. We must also modify our traditional approach to military assignments, allowing people to develop and sustain technical expertise as well as care for themselves and their families. We must also better leverage technology to conduct training and work.

A second challenge is the increasing complexity of the Marine Transportation System (MTS) coupled with coastal population growth, cybersecurity threats, and a fragile global supply chain. The MTS has experienced tremendous expansion over the past several decades, and will continue to do so for the foreseeable future, placing increasing demands on shared-use waterways. Revolutionary changes to sensors, shipboard technology, as well as novel uses of the maritime domain in support of energy production and resource extraction will further this complexity. Coastal population growth increases the likely economic severity that results from natural and man-made disasters. Globally, population growth will likely pressurize food stocks, access to potable water, and other resources. This has the potential to cause increased maritime migration, illegal fishing, as well as proliferation of transnational

crime and nation-on-nation maritime conflict. These changes will result in increased demand for USCG services. To address these challenges the USCG must take a long-view, and work closely with our external stakeholders to ensure we have the optimal mix of authorities, resources and assets to adequately manage risk across the maritime commons. We must also be willing to adopt novel technology, new approaches to maritime governance, and expand partnerships.

A third challenge is heightened maritime activity in the polar regions, and the need for a sustained USCG surface presence to protect national economic and environmental interests. Operations and mission support in the polar regions is extremely challenging given the presence of ice, extreme temperatures and lack of infrastructure. In addition to the acquisition of new polar icebreakers, the USCG must explore other means by which to establish effective and sustainable presence in the high latitudes. This includes expanding partnerships with industry, other government agencies and other nations to establish presence in these regions.

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, but should one arise I will obtain advice from a Coast Guard ethics official and will follow that advice.

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, but should one arise I will obtain advice from a Coast Guard ethics official and will follow that advice.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

None, but should one arise I will obtain advice from a Coast Guard ethics official and will follow that advice.

6. 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.

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, an Inspector General, 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.

When I was 17 years old (June 1990), I was charged with "minor in possession of alcohol" in Rockbridge County, VA. The charge was subsequently dismissed by the court. I reported the incident to the Coast Guard Academy prior to my arrival, and have reported it on every SF-86 that I have submitted during my time in the Coast Guard.

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 race, color, national origin,

religion, sex (including gender identity, sexual orientation, and pregnancy), age, disability, genetic information, marital status, parental status, political affiliation, engagement in a protected Equal Employment Opportunity/Equal Opportunity (EEO/EO) activity, whistleblower activity, or any other basis? If so, please explain.

In 2014 while assigned as the USCG Yard Industrial Manager, I was named as one of several responsible management officials accused of harassment by a civilian employee on the basis of race, disability, and reprisal. I was the complainant's fourth-level supervisor. This case was investigated by a third-party certified EEO investigator and was adjudicated by the EEOC. The EEOC administrative judge determined that the accusations were without merit and entered summary judgment for the Coast Guard in July 2018.

In preparation for submitting this questionnaire, I was informed by the Coast Guard that I was named in a second EEO allegation in 2019 by a different civilian employee at the USCG Yard. I was not notified about the complaint at the time it was filed, nor asked to provide any statement in the matter. I understand it was closed in fall 2019 without investigation but I do not have details about the resolution.

6. If you have ever served as a general court-martial convening authority 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, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority?

Yes.

2. Will you ensure that your department/agency does whatever it can to protect congressional witnesses and whistleblowers 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.

5. Do you agree, if confirmed, to keep this Committee, its subcommittees, other appropriate Committees of Congress, and their respective staffs apprised of new information that materially impacts the accuracy of testimony, briefings, reports, records—including documents and electronic communications, and other information you or your organization previously provided?

Yes, in accordance with law and DHS policy and guidance.

6. Do you agree, if confirmed, and on request, to provide this Committee and its subcommittees with records and other information within their oversight jurisdiction, even absent a formal Committee request?

Yes, in accordance with law and DHS policy and guidance.

7. Do you agree, if confirmed, to ensure that you and other members of your organization protect from retaliation any military member, federal employee, or contractor employee who testifies before, or communicates with this Committee, its subcommittees, and any other appropriate committee of Congress?

Yes.

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

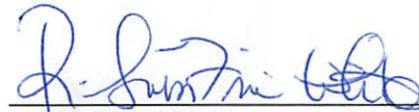
F. AFFIDAVIT

Matthew William Lake being duly sworn, hereby states that he/she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his/her knowledge, current, accurate, and complete.



Signature of Nominee

Subscribed and sworn before me this 31 day of August, 2022.



Notary Public



District of Columbia	
Signed and sworn to (or affirmed) before me on	
<u>8/31/2022</u>	by <u>Matthew Lake</u>
Date	Name(s) of Individual(s) making statement
<u>R. Sumina White</u>	<u>[Signature]</u>
R. Sumina White, Notary Public, D.C.	
My Commission Expires 01/31/2023	

CAPT Matt Lake
Executive Assistant
U.S. Coast Guard Deputy Commandant for Mission Support



Captain Matt Lake currently serves as Executive Assistant to the Deputy Commandant for Mission Support. The 17,000-person Mission Support organization delivers the systems and people in support of the Coast Guard's diverse mission sets through oversight of all human capital; lifecycle naval, aeronautical and civil engineering and logistics; acquisitions; information technology; and security.

Captain Lake has had a mix of Coast Guard operational and field mission support assignments. These included service in Coast Guard Cutter (CGC) MIDGETT and CGC NORTHLAND, as the Engineer Officer, duty at Maintenance & Logistics Command Atlantic; service as the first Sector St. Petersburg Logistics Department Head, and as the Surface Forces Logistics Center's first Product Line Engineering Chief, implementing the Coast Guard's present-day logistics systems and mission support business framework. Captain Lake also served as the Coast Guard Yard's Industrial Manager, where he was responsible for shipyard operations, and later as the Yard's Commanding Officer. The Coast Guard Yard is the largest industrial facility in the Department of Homeland Security (DHS), and the Coast Guard's only public shipyard, capable of vessel, sensor and gun weapon systems construction, renovation and repair.

In addition to operational and mission support field assignments, Captain Lake served as Deputy of the Coast Guard's Office of Budget and Programs where he oversaw formulation and defense of the Coast Guard's \$11 billion annual budget with Department of Homeland Security (DHS), the Administration, and Congress. He later served under the DHS Chief Financial Officer, coordinating formulation and justification of DHS' \$65 billion President's Budget Request to Congress, and prepared the DHS Secretary for Congressional oversight hearings. Most recently, Captain Lake served as the Assistant Program Executive Officer for Surface Acquisitions, where he led all of the Service's cutter and boat construction and renovation programs at shipyards throughout the United States, valued at over \$30 billion.

Captain Lake earned a Bachelor of Science with High Honors in Naval Architecture & Marine Engineering from the U.S. Coast Guard Academy in 1995. He earned Master of Science degrees in both Mechanical Engineering and Naval Architecture & Marine Engineering in 1999 from the University of Michigan. He was selected as a Massachusetts Institute of Technology (MIT) Sloan Fellow, and earned a Master of Business Administration from MIT in 2016. Captain Lake is a Certified Government Financial Manager and Senior Acquisition Program Manager.

Captain Lake has been awarded two Legions of Merit, five Meritorious Service Medals, and several other personal and unit awards. He is a recipient of the 2018 General Tuttle Award for Business Acumen in Defense and Government, the 2010 American Society of Naval Engineers Perry Award, the 2007 Coast Guard Chief Financial Officer Award, and was awarded by the Secretary of Homeland Security in 2013 for outstanding performance of duty.

CAPT Matthew W. Lake

Current Assignment

Apr 21 – present DCMS-EA, USCG Deputy Commandant for Mission Support
Executive Assistant

Assignment History

Jul 19 – Apr 21 CG-932, Assistant Program Executive Officer for Surface
Acquisitions
Jun 16 – Jul 19 USCG Yard, Commanding Officer
Apr 15 – Jun 16 Massachusetts Institute of Technology, Sloan Fellow
Dec 14 – Apr 15 Department of Homeland Security (DHS), Special Assistant to DHS
Chief Financial Officer
Jul 13 – Dec 14 USCG Yard, Industrial Manager
Apr 11 – Jul 13 CG-82d, Office of Budget & Programs, Deputy
May 10 – Apr 11 CG-821, Office of Budget & Programs, Program Reviewer
Aug 08 – May 10 Surface Forces Logistics Center Small Boat Product Line,
Engineering Chief
Jul 05 – Aug 08 Sector St. Petersburg, Logistics Department Head
May 02 – Jul 05 USCGC NORTHLAND (WMEC-904), Engineer Officer
Jun 99 – May 02 Maintenance and Logistics Command Atlantic Naval Engineering
Division, Type Desk Supervisor
Jun 97 – Jun 99 University of Michigan, Duty Under Instruction (Naval Engineering)
Jun 95 – Jun 97 USCGC MIDGETT (WHEC-726), Student Engineer

Educational Summary

2015-2016 Massachusetts Institute of Technology, Master of Business
Administration
1997-1999 University of Michigan, Master of Science, Naval Architecture &
Marine Engineering
1997-1999 University of Michigan, Master of Science in Engineering,
Mechanical Engineering
1991-1995 USCG Academy, Bachelor of Science, Naval Architecture & Marine
Engineering

Military Personal Awards and Significant National Recognition or Achievement

2021 Legion of Merit
2019 Legion of Merit
2018 Institute for Defense & Business - General William Tuttle Award for
Business Acumen in Defense & Government
2015 Massachusetts Institute of Technology Sloan Fellowship
2015 Meritorious Service Medal
2013 Meritorious Service Medal
2013 U.S. Secretary of Homeland Security Outstanding Service Award
2010 Meritorious Service Medal
2010 American Society of Naval Engineers Perry Award

2008	Meritorious Service Medal
2007	USCG Chief Financial Officer Award
2005	Coast Guard Commendation Medal
2005	Coast Guard Permanent Cutterman Insignia
2002	Meritorious Service Medal
1997	Coast Guard Achievement Medal
1996	U.S. Surface Navy Association Admiral Schonland Award
1995	USCG Vice Admiral J.J. McClelland Award

Significant Current Professional Credentials or Recent Activities

2018- Present	Association of Government Accountants Certified Government Financial Manager
2017-Present	DHS Senior Acquisition Program Manager Certification
2017-Present	Federal Acquisition Certification in Program and Project Management (Senior)