

Raven Forbes, Esq.

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----- PROFESSIONAL SUMMARY -----

Experienced compliance officer with successful history of reducing risk, improving efficiencies, and driving change. Skilled in collaborating with stakeholders to ensure compliance with all applicable company policies, laws, and regulations. Proven track record in identifying and investigating potential compliance issues, recommending corrective action, and maintaining positive relationships with stakeholders.

----- PROFESSIONAL EXPERIENCE -----

SR. MANAGER – GLOBAL ETHICS & COMPLIANCE, RTX | McKinney, TX

May 2021 – Current

Serve as the primary point of accountability for ethics and business conduct related matters. Build and sustain an ethical culture through communication, training, and providing resources and guidance on the RTX Code of Conduct and other policies.

- Act as a compliance leader, strategist, and subject matter expert in assessing and advising on existing and emerging compliance risk areas
- Communicate and promote a culture of compliance, ethical conduct, and ensure a clear tone at the top is set by senior management
- Spearheaded the 2022 pilot and 2023 launch of the RTX Ethics & Compliance Annual Certification for Raytheon Company
- Mentored and trained part-time ethics officers
- Review and provide guidance to employees on a range of ethics and compliance topics such as conflicts of interest, business courtesies, labor charging, etc., consistent with applicable policies, the Code of Conduct, and processes
- Manage concerns received through the Ethics & Compliance Helpline
- Receive and respond to questions and concerns from employees consistent with RTX and Raytheon policies and the Code of Conduct
- Properly document employee questions and guidance provided in Raytheon GEC's case management system (SAI Global Compliance 360) consistent with internal standards and with a clear focus on data integrity
- Lead and manage Raytheon Company's conflict of interest process
- Collaborated with Human Resources on strategy and communications regarding COVID-19
- Design, prepare, and conduct training sessions
- Present at various meetings including all hands, front line leader training, etc.
- Supervised contract workers
- Assist with and conduct investigations regarding allegations of employee misconduct, including alleged corporate policy violations and unlawful activities.
- Design and draft investigation plans, review documents (including emails, chats, instant messages, expense reports, etc.), conduct witness interviews, write interview memorandums, and write investigation reports.

SR. PRINCIPAL – GLOBAL TRADE, Raytheon Company | McKinney, TX

August 2018 – May 2021

Partner with various stakeholders across the company to provide real-time, compliant Global Trade advice to support business needs.

- Serve as empowered official
- Analyze and apply Global Trade regulations (both U.S. and non-U.S.) to support business needs in the context of internal and external stakeholders
- Subject matter expert providing clear compliance advice on domestic and international trade compliance activity matters
- Provide consistent interpretations of International Traffic in Arms Regulations (ITAR) and Export Administration Regulations (EAR) to stakeholders

- Collaborate with internal stakeholders to understand export licensing requirements to meet business needs. Develop solutions to complex problems consistent with organization objectives and regulatory requirements
- Develop authorization strategies for the international marketing, sales, support, offshore procurement and manufacturing of defense and dual use articles
- Draft and submit Directorate of Defense Trade Controls (DDTC) and Bureau of Industry & Security (BIS) export authorization applications
- Subject Matter Expert (SME) in ITAR and EAR Export Authorizations requirements and drafting
- Obtained and managed over \$750 million in export authorizations
- Approve hardware imports and exports and requests to export technical data
- Work collaboratively with members of the Global Compliance team and stakeholders across the company to manage compliance risk and support business initiatives
- Identify training needs, deliver Export/Import compliance training as required for employees engaged in international sale of military and defense articles
- Monitor authorizations for any changes effecting the authorizations and acting upon knowledge of the change
- Provide licensing guidance and license portfolio management guidance to junior analysts
- Mentor junior analysts
- Assist with investigations and reviews of possible Global Trade escapes and disclosures
- Worked on a team to develop empowered official training materials

PRINCIPAL – GLOBAL TRADE, Raytheon Company | McKinney, TX

June 2013 – August 2018

Serve as the primary contact for international programs to maintain compliance with Raytheon Company Policies, U.S. and International export control regulations

- Analyze and apply Global Trade regulations (both U.S. and non-U.S.) to support business needs in the context of internal and external stakeholders.
- Draft and submit Directorate of Defense Trade Controls (DDTC) and Bureau of Industry & Security (BIS) export authorization applications
- Obtained and managed \$2.9 billion in export authorizations
- Participated in all audits and successfully implemented corrective actions associated with the 2013 Department of State Consent Agreement issued to Raytheon Company
- Obtained Congressional Notification for special mission aircraft program
- Manage day-to-day execution of licenses and exceptions ensuring compliance for all activities under the authorizations, such as foreign travel, foreign visits and export and import transactions
- Approve export and import shipments
- Obtain signed agreements and other required documentations from foreign parties (e.g., Prior Consignee Statements, DSP-83s, ITAR NDAs, etc.) as applicable.
- Coordinate imports of unclassified hardware with foreign parties to ensure proper customs paperwork is included and shipment is authorized under proper license exemptions
- Review and approve presentations, briefings, documents and other information intended to be provided to foreign persons for compliance with licenses, regulations and company policies prior to release
- Supervise junior analysts
- Developed and delivered onboard training on license and agreement writing for new hires

----- EDUCATION -----

Juris Doctor, University of Arkansas, Fayetteville, AR

Bachelor of Science - Business Administration, University of Central Arkansas, Conway, AR

----- CERTIFICATIONS & LICENSES -----

License to practice law, State Bar of Texas

Raytheon R6Sigma Expert, Raytheon Company

Security Clearance