

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Kendall, Frank

USD(AT&L), Department of Defense

Report Year: 2016

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Kendall, Frank [electronically signed on 08/13/2016 by Kendall, Frank in Integrity.gov] - Filer received a 90 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Vetter, Ruth, Certifying Official [electronically signed on 10/25/2016 by Vetter, Ruth in Integrity.gov]

Other review conducted by

/s/ Irvine, Dani, Ethics Official [electronically signed on 10/25/2016 by Irvine, Dani in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 11/16/2016 by Skalla, Daniel L in Integrity.gov]

Data Revised 11/16/2016

Data Revised 10/24/2016

Data Revised 10/21/2016

Data Revised 10/14/2016

Data Revised 08/31/2016

1. Filer's Positions Held Outside United States Government

None

2. Filer's Employment Assets & Income and Retirement Accounts

None

3. Filer's Employment Agreements and Arrangements

None

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

(N/A) - Not required for this type of report

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Hogan and Lovells Law Firm, Washington, DC	No		Salary (other than Federal Government)	
2	Hogan Lovells US LLP Retirement Savings Plan Fidelity 401K	No	None (or less than \$1,001)		None (or less than \$201)
2.1	FIDELITY GROWTH COMPANY K	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.2	Multi Manager International Equity Fund	No	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2.1	Thomas White International I	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.2	American Funds Europacific Growth R6	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2.3	thornburg International Value R6	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.4	Dodge & Cox International Stock	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	FIDELITY LOW PR STOCK K	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.4	NB KAMINSKY III FUND	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.5	NB KAMINSKY II FUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Fidelity Money Market Trust Retirement Government Money Market II Portfolio (FRTXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ETRADE Financial Savings Accounts (cash)	No	\$100,001 - \$250,000		None (or less than \$201)
2	ETRADE Financial Investment Account (Joint)	No	\$1,001 - \$15,000		None (or less than \$201)
2.1	Hennessy Small Cap Fin Fund Inv CL (HSFNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	ETRADE Joint Sweep Account	No	\$1,001 - \$15,000		None (or less than \$201)
3	CONDO, Arlington, VA	No	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	BANK OF AMERICA CHECKING	No	\$1,001 - \$15,000		None (or less than \$201)
5	ETRADE Financial Investment Acct (Indiv)	No	\$250,001 - \$500,000		None (or less than \$201)
5.1	Permanent Portfolio Fund (PRPFX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.2	Fairholme Funds Inc COM (FAIRX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.3	Hennessy Small Cap Fin Fund Inv CL (HSFNX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.4	ETRADE Individual Acct Sweep Accts	No	\$1,001 - \$15,000		None (or less than \$201)
6	Sun Trust Bank Checking	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	American Funds College 2033 Fund - 529A	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	UBS Indiv RMA	No	None (or less than \$1,001)		None (or less than \$201)
8.1	METRO PIER&EXPSTIN IL TX RV A	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
8.2	WHITE SETTLEMENT TX ISD SER C	See Endnote	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
8.3	MASS TPK AU METRO HWY RV SR-C	No	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
8.4	AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CL A	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8.5	UBS Deposit Acct Indiv RMA	No	\$100,001 - \$250,000		None (or less than \$201)
8.6	AMERICAN FUNDS FUNDAMENTAL INVESTORS FUND CL A (ANCFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8.7	GNMA PL 782522X	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
8.8	American Funds New Perspective Fund CL A	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.9	Columbia Dividend Income Fund CL A	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8.10	Leander TX Independent School Dist	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.11	District Columbia A&B RV Bond Matures 4/1/35	No	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
9	UBS Joint RMA	No	None (or less than \$1,001)		None (or less than \$201)
9.1	UBS Deposit Account Joint RMA	No	\$50,001 - \$100,000		None (or less than \$201)
9.2	GNMA PL 003885M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.3	GNMA PL 659618X	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
9.4	GNMA PL 003956M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.5	GNMA PL 782522X	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
9.6	FOOTHILL ESTN TRANSN REV FSA CRC	No	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
9.7	FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10	UBS Rollover IRA	No	None (or less than \$1,001)		None (or less than \$201)
10.1	ANNALY CAPITAL MANAGEMENT INC REIT	No	\$50,001 - \$100,000		None (or less than \$201)
10.2	AMER FUNDS CAPITAL WORLD GROWTH & INCOME FUND CL A	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
10.3	GNMA PL 002592M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.4	GNMA PL 003571M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.5	GNMA PL 647831X	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.6	UBS Deposit Acct - Rollover IRA	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.7	American Funds Fundamental Investors Fund CL A	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10.8	Bershire Hathaway Inc New CL B	No	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
11	UBS SEP IRA	No	None (or less than \$1,001)		None (or less than \$201)
11.1	GNMA PL 782522X	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
11.2	POWERSHARES WATER RESOURCES PORTFOLIO	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
11.3	COLUMBIA ACORN FUND CLASS A	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
11.4	AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CL A	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.5	UBS Deposit Acct SEP	No	\$15,001 - \$50,000		None (or less than \$201)
11.6	American funds Fundamental Investors Fund CL A (ANCFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.7	Columbia Dividend Income Fund A (LBSAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
12	UBS Sole Proprietor Account	No	None (or less than \$1,001)		None (or less than \$201)
12.1	AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CL A	Yes	\$1,001 - \$15,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fairholme Funds Inc	Purchase	12/14/15	\$15,001 - \$50,000
2	Hennessey Small Cap Financial Fund	Purchase	12/10/15	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
3	American Funds New Perspective Fund	Purchase	multiple	\$15,001 - \$50,000
4	Columbia Dividend Income Fund A	Purchase	multiple	\$100,001 - \$250,000
5	American Funds Capital Income Builder Fund	Purchase	multiple	\$15,001 - \$50,000
6	American Funds Fundamental Investors Fund CL A	Purchase	Multiple	\$100,001 - \$250,000
7	Fairholme Fund	Sale	08/19/2015	\$100,001 - \$250,000
8	Berkshire Hathaway New CL B	Sale	09/17/15	\$100,001 - \$250,000
9	Columbia Acorn Fund CL A	Sale	11/05/15	\$100,001 - \$250,000
10	American Funds College 2033 Fund 529-A	Purchase	07/08/15	\$1,001 - \$15,000
11	Fidelity Low Price Stock K	Purchase	Multiple	\$15,001 - \$50,000
12	Permanent Portfolio Fund inc.	Purchase	12/10/15	\$1,001 - \$15,000
13	American Funds Capital World Growth & Income	Purchase	12/23/15	\$1,001 - \$15,000
14	Annaly Capital Mgmt Inc REIT	Purchase	multiple	\$1,001 - \$15,000
15	Fidelity Growth Co K	Purchase	12/04/15	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Ocwens Mortgage, Carol Stream, IL	Mortgage on Personal Residence	\$100,001 - \$250,000	2003	4.37	15

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	8.2	Call Redemption

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
