

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

Filer's Information

Kendall, Frank

USD(AT&L), Department of Defense

Date of Termination: 01/20/2017

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 01/13/2017 by Kendall, Frank in Integrity.gov]

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 03/06/2017 by Vetter, Ruth in Integrity.gov]

Other review conducted by

/s/ Irvine, Dani, Ethics Official [electronically signed on 02/23/2017 by Irvine, Dani in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 03/07/2017 by Rounds, Emory in Integrity.gov]

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	Fidelity Money Market Trust Retirement Government Money Market II Portfolio (FRTXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Multi Manager Bal Aggr	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.6	Multi Mgr Bal Mod	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	\$250,001 - \$500,000		None (or less than \$201)
2	ETRADE Financial Investment Account (Joint)	No	None (or less than \$1,001)		None (or less than \$201)
2.1	Hennessy Small Cap Fin Fund Inv CL (HSFNX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.2	ETRADE Joint Sweep Account	No	\$1,001 - \$15,000		None (or less than \$201)
3	BANK OF AMERICA CHECKING	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	ETRADE Financial Investment Acct (Indiv)	No	None (or less than \$1,001)		None (or less than \$201)
4.1	Fairholme Funds Inc COM (FAIRX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.2	Hennessy Small Cap Fin Fund Inv CL (HSFNX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
4.3	ETRADE Individual Acct Sweep Accts	No	\$100,001 - \$250,000		None (or less than \$201)
5	Sun Trust Bank Checking	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	American Funds College 2033 Fund - 529A	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	UBS Indiv RMA	No	None (or less than \$1,001)		None (or less than \$201)
7.1	METRO PIER&EXPSTIN IL TX RV A	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
7.2	WHITE SETTLEMENT TX ISD SER C	See Endnote	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.3	MASS TPK AU METRO HWY RV SR-C	No	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
7.4	AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CL A	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
7.5	UBS Deposit Acct Indiv RMA	No	\$100,001 - \$250,000		None (or less than \$201)
7.6	AMERICAN FUNDS FUNDAMENTAL INVESTORS FUND CL A (ANCFX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7.7	GNMA PL 782522X	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
7.8	American Funds New Perspective Fund CL A	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
7.9	Columbia Dividend Income Fund CL A	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
7.10	Leander TX Independent School Dist	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.11	District Columbia A&B RV Bond Matures 4/1/35	No	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
8	UBS Joint RMA	No	None (or less than \$1,001)		None (or less than \$201)
8.1	UBS Deposit Account Joint RMA	No	\$100,001 - \$250,000		None (or less than \$201)
8.2	GNMA PL 003885M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
8.3	GNMA PL 659618X	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.4	GNMA PL 003956M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
8.5	GNMA PL 782522X	No	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
8.6	FOOTHILL ESTN TRANSN REV FSA CRC	No	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
9	UBS Rollover IRA	No	None (or less than \$1,001)		None (or less than \$201)
9.1	ANNALY CAPITAL MANAGEMENT INC REIT	No	\$50,001 - \$100,000		None (or less than \$201)
9.2	AMER FUNDS CAPITAL WORLD GROWTH & INCOME FUND CL A	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
9.3	GNMA PL 002592M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.4	GNMA PL 003571M	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.5	GNMA PL 647831X	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.6	UBS Deposit Acct - Rollover IRA	No	\$15,001 - \$50,000		None (or less than \$201)
9.7	American Funds Fundamental Investors Fund CL A	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10	UBS SEP IRA	No	None (or less than \$1,001)		None (or less than \$201)
10.1	GNMA PL 782522X	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2	POWERSHARES WATER RESOURCES PORTFOLIO	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.3	AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CL A	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10.4	UBS Deposit Acct SEP	No	\$15,001 - \$50,000		None (or less than \$201)
10.5	American funds Fundamental Investors Fund CL A (ANCFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10.6	Columbia Dividend Income Fund A (LBSAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11	UBS Sole Proprietor Account	No	None (or less than \$1,001)		None (or less than \$201)
11.1	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	Sale	06/07/2016	\$50,001 - \$100,000
2	Hennessy Small Cap	Sale	06/07/2016	\$100,001 - \$250,000
3	Permanent Portfolio Fund	Sale	06/07/2016	\$100,001 - \$250,000
4	NB Kaminsky III Fund	Sale	8/15/2016	\$50,001 - \$100,000
5	NB Kaminsky II	Sale	8/15/2016	\$1,001 - \$15,000
6	Fairholme Funds	Purchase	Aggregate	\$1,001 - \$15,000
7	Hennessy Small Cap Fin Fun HSFNX	Purchase	Aggregate	\$1,001 - \$15,000
8	American Fund Cap Income Builder CLA	Purchase	Aggregate	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	American Funds Fundamental ANCFX	Purchase	Aggregate	\$1,001 - \$15,000
10	GNMA PL 782522X	Sale	Aggregate	\$1,001 - \$15,000
11	American Funds New Perspective F-1	Purchase	Aggregate	\$1,001 - \$15,000
12	Columbia Dividend Income Fund CLA	Purchase	Aggregate	\$1,001 - \$15,000
13	Annaly Capital Mgt Inc REIT	Purchase	Aggregate	\$1,001 - \$15,000
14	Franklin/Templeton Global Bond Fund Class A	Sale	1/20/2016	\$50,001 - \$100,000
15	American Funds Cap World Growth/Income CLA	Purchase	Aggregate	\$1,001 - \$15,000
16	American Funds Fund Investors Fund CLA	Purchase	Aggregate	\$1,001 - \$15,000
17	American Funds Fundamental Investors CAIBX	Purchase	Aggregate	\$1,001 - \$15,000
18	American Funds Fund Investors Fund ANCFX	Purchase	Aggregate	\$1,001 - \$15,000
19	Columbia Dividend Income Fund A LBSAX	Purchase	Aggregate	\$1,001 - \$15,000
20	GNMA PL 782522X	Sale	Aggregate	\$1,001 - \$15,000
21	Condo Arlington	Sale	April 2016	\$250,001 - \$500,000
22	Mutli Manager Balanced Aggressive	Purchase	08/15/2016	\$50,001 - \$100,000
23	Multi Manager Balanced Moderate	Purchase	08/15/2016	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	7.2	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.

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