

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Kendall, Frank

Secretary of the Air Force, Department of Defense

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Armed Services
-

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 04/14/2021 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/ Thompson, Scott F, Certifying Official [electronically signed on 05/19/2021 by Thompson, Scott F in Integrity.gov]

Other review conducted by

/s/ Thompson, Scott F, Ethics Official [electronically signed on 05/19/2021 by Thompson, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 05/20/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Leidos, Inc.		Reston, Virginia	Corporation	Member, Board of Directors	7/2017	Present
2	Leonardo Electronics USA	See Endnote	Crystal City, Virginia	Corporation	Member, Board of Directors	5/2018	Present
3	QuEST Defense	See Endnote	Cincinnati, Ohio	Corporation	Member, Board of Directors	12/2020	Present
4	Center for Victims of Torture		Minneapolis, Minnesota	Non-Profit	Member, Board of Directors	12/2018	Present
5	Truman National Security Project		Washington, District of Columbia	Non-Profit	Member, Board of Directors	6/2018	Present
6	Truman Center		Washington, District of Columbia	Non-Profit	Member, Board of Directors	6/2018	Present
7	Northrop Grumman		Falls Church, Virginia	Corporation	Consultant	4/2017	Present
8	Mercury Systems		Andover, Massachusetts	Corporation	Consultant	7/2020	Present
9	Innoven Energy		Colorado Springs, Colorado	Corporation	Consultant	7/2018	Present
10	MBO Partners	See Endnote	Ashburn, Virginia	Corporation	Employee	1/2020	Present
11	Center For American Progress	See Endnote	Washington, District of Columbia	Non-Profit	Senior Fellow	7/2018	Present
12	Center for Strategic and International Studies	See Endnote	Washington, District of Columbia	Non-Profit	Senior Advisor	3/2017	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	Institute for Defense Analyses		Alexandria, Virginia	Non-Profit	Consultant	3/2017	Present
14	Renaissance Strategic Advisors		Arlington, Virginia	Corporation	Executive in Residence/Consultant	2/2017	12/2019
15	Forbes Magazine		Jersey City, New York	Corporation	Contributor	9/2017	Present
16	Renaissance Strategic Advisors	See Endnote	Arlington, Virginia	Corporation	Consultant	1/2020	Present
17	Rand Corporation		Pentagon City, Virginia	Non-Profit	Consultant	6/2017	Present
18	Beacon Strategies		Denver, Colorado	Corporation	Consultant	10/2020	10/2020
19	McKinsey & Company		New York, New York	Corporation	Consultant	8/2020	8/2020

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northrop Grumman		N/A		Consulting Fees	\$702,319
2	Mercury Systems		N/A		Consulting Fees	\$12,575
3	Institute for Defense Analyses		N/A		Consulting Fees	\$6,406
4	Renaissance Strategic Advisors (Strategic Planning Consulting for Aerospace and Defense Firms)	See Endnote	N/A		Consulting Fees,	\$113,750
5	Leidos, Inc.					
5.1	Leidos, Inc., Keystaff Deferral Plan	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1.1	T. Rowe Price Small & Mid-Cap Core Index Fund D		Yes	\$250,001 - \$500,000		None (or less than \$201)
5.1.2	Vanguard Extended Market Index Institutional Plus		Yes	\$100,001 - \$250,000		None (or less than \$201)
5.1.3	Vanguard Target Retirement 2025 Inv.		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.1.4	Vanguard Total Bond Market Index Inst		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	Leidos Inc. (Directors fees receivable for 1st Q 2021)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.3	Leidos Inc. Key Executive Stock Deferral Plan	See Endnote	No			
5.3.1	Leidos Inc. common stock		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5.3.2	Leidos Inc. vested stock options (may be exercised as of 4/30/21)		N/A	\$250,001 - \$500,000		None (or less than \$201)
5.3.3	Leidos, Inc. restricted stock units (vest May 1, 2021)		N/A	\$100,001 - \$250,000		None (or less than \$201)
5.4	Leidos Inc. (received) [2020 ONLY Covid-19 relief donation]	See Endnote	N/A		Charitable contribution for 2020 made on my behalf by the company.	\$50,000
6	Leonardo Electronics USA		N/A		Director's fees	\$70,000
6.1	Leonardo Electronics (Receivable Director's Fees Q1 CY2021)		N/A	\$1,001 - \$15,000		None (or less than \$201)
7	QuEST Defense		N/A		Director's Fees	\$10,000
7.1	QuEST Defense (Receivable Directors Fees for Q2 CY2021)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	MBO Partners	N/A		Hourly rate - part time employee	\$34,699
9	SEP IRA	No		distribution	\$19,377
9.1	US Bank Account Money Market account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.2	American Funds Fundamental ANCFX	Yes	\$250,001 - \$500,000		None (or less than \$201)
9.3	American Funds New Perspective	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.4	Columbia Dividend and Income Fund LBSAX	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
9.5	Polen International Growth Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	Rollover IRA	No		Distribution	\$13,827
10.1	US Bank Account Money Market Account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.2	American Funds Fundamentals ANCFX	Yes	\$100,001 - \$250,000		None (or less than \$201)
10.3	Annaly Capital Management NLY	Yes	\$100,001 - \$250,000		None (or less than \$201)
10.4	American Funds New Perspective ANWPX	Yes	\$100,001 - \$250,000		None (or less than \$201)
11	Forbes Magazine	N/A		Contributors fees	\$210
12	Beacon Strategies	N/A		Consulting Fee	\$5,000
13	Rand Corporation	N/A		Consulting Fees	\$2,000
14	McKinsey & Company	N/A		Consulting Fee	\$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Innoven Energy [Private company: energy production through Inertial Confinement Fusion (ICF)]					
15.1	Innoven Energy (convertible loan)		N/A	\$50,001 - \$100,000		None (or less than \$201)
15.2	Innoven Energy (Receivable deferred consulting fees)	See Endnote	N/A	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Leidos, Inc.	Reston, Virginia	<p>Pursuant to the terms of my Board of Directors agreement with the company as part of my compensation I receive annually approximately \$125K cash [paid quarterly] retainer and \$155K in equity interests in the company in the form of restricted stock units [RSU's] and stock options. These interests vest a year from the date of granting or at the time of the annual meeting whichever is earlier.</p> <p>Since becoming a director I have elected to have my cash retainer placed into the company's KeyStaff Deferral Plan [deferred comp with underlying holdings] and my RSU and Options into the Key Executive Stock Deferral Plan.</p> <p>At present time I currently retain common stock and RSU's and vested stock options. My restricted stock vests on May 1, 2021, and my vested stock options may be exercised as early as April 30, 2021. I have not received my 2021 grants, but am due to receive them at the Board of Directors Annual Meeting on May 1, 2021. Upon my confirmation I will resign from my board position. Should I be confirmed prior to the vesting of my 2021 grants in 2022, I will be expected to forfeit these interests.</p> <p>In accordance with the terms of my agreement, upon my resignation, the company will liquidate my Key Executive Stock Deferral Plan and give me a one time cash distribution within 90 days of my resignation.</p>	7/2017
2	Northrop Grumman	Falls Church, Virginia	<p>Pursuant to the terms of my consulting agreement I am entitled to receive a minimum fixed amount of \$300K per year. My current agreement with the company ends July 1, 2021. Upon my confirmation I will terminate my agreement with the company. Should I be confirmed and terminate my agreement prior to July 1, 2021, I will be entitled to a pro-rated amount of the balance of the minimum fixed amount as of the date I terminate my consulting agreement.</p> <p>The company has indicated that it will be able to pay me this balance due within 60 days of my confirmation.</p>	7/2019

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	Mercury Systems	Andover, Massachusetts	<p>Pursuant to the terms of my consulting agreement I am entitled to receive a minimum fixed amount of \$40K per year. My current agreement with the company ends July 1, 2021. Upon my confirmation I will terminate my agreement with the company. Should I be confirmed and terminate my agreement prior to July 1, 2021, I will be entitled to a pro-rated amount of the balance of the minimum fixed amount as of the date I terminate my consulting agreement.</p> <p>The company has indicated that it will be able to pay me this balance due within 60 days of my confirmation.</p>	7/2020
4	Leonardo Electronics USA	Arlington, Virginia	<p>Pursuant to the terms of my agreement with the company, I am entitled to receive \$40,000 in annual board fees which are paid quarterly, and are not tied to attendance at board meetings.</p> <p>Upon my confirmation, I will resign from this board position. Should this occur prior to the end of the quarter I will be entitled to receive a pro-rated amount of the fixed amount due to me for that quarter as of the date of my resignation.</p> <p>The company has indicated that they will be able to may this payment to me within 60 days after my confirmation.</p>	4/2019
5	QuEST Defense	Cincinnati, Ohio	<p>Pursuant to the terms of my agreement with the company, I am entitled to receive \$ 40,000 in annual board fees which are paid quarterly, and are not tied to attendance at board meetings.</p> <p>Upon my confirmation, I will resign from this board position. Should this occur prior to the end of the quarter I will be entitled to receive a pro-rated amount of the fixed amount due to me for that quarter as of the date of my resignation.</p> <p>The company has indicated that they will be able to may this payment to me within 60 days after my confirmation.</p>	1/2021

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
6	Innoven Energy	Colorado Springs, Colorado	In October 2018 I entered into a consulting agreement with the company in which they agreed to pay me a fixed fee per quarter, but the fees, plus accrued interest would be deferred until investment funding was obtained by the company. Simultaneously, I entered into an agreement to loan the company investment capital, which would be converted to equity in the company when additional investment capital was acquired. I will be entitled to equity in the company for the value of the amount of the loan, plus the value of the deferred consulting fees plus interest at a rate permitted in the loan agreement. As of today, I have not received any money from the company.	10/2018
7	Renaissance Strategic Advisors	Arlington, Virginia	Pursuant to the terms of my consulting agreement with the company I am paid \$625 hourly for services provided. Upon my confirmation, I will terminate my consulting agreement with the company and all amounts due to me for services provided will be fixed as of that date.	1/2020
8	Institute for Defense Analyses	Alexandria, Virginia	Pursuant to the terms of my consulting agreement I am paid an hourly rate of \$156.25 for consulting services provided. Upon my confirmation I will terminate this consulting agreement, and all amounts due to me will be fixed as of the termination date.	3/2017
9	Rand Corporation	Pentagon City, Virginia	Pursuant to the terms of my consulting agreement I am paid an hourly rate of \$250 for consulting services provided. Upon my confirmation I will terminate this agreement and all amounts due and owing to me as of that date will be fixed.	6/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Leidos, Inc.	Reston, Virginia	Member, board of directors publicly held corporation

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
2	Leonardo Electronics USA	Crystal City, Virginia	Member, Special Security Agreement Board of Directors and member of Government Security Committee
3	QuEST Defense	Cincinnati, Ohio	Member, Special Security Agreement Board of Directors and Government Security Committee.
4	Mercury Systems	Andover, Massachusetts	Member of Technical Advisory Board - provide advice on technology investments and business strategy.
5	Northrop Grumman	Falls Church, Virginia	Provide advice on technology, international business, and strategy.
6	MBO Partners	Ashburn, Virginia	Provide consulting to Defense Advanced Research Projects Agency on future of warfare.
7	Institute for Defense Analyses	Alexandria, Virginia	Serve as an expert consultant on studies for the Department of Defense as requested.
8	Renaissance Strategic Advisors	Arlington, Virginia	Provide expert advice to support strategic planning for aerospace and defense firms as requested.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Hogan Lovells (Law firm - partnership)	N/A		salary, bonus	\$328,726
2	Hogan Lovells US LLP Retirement Savings Plan	No			
2.1	Fidelity Growth Co- FGCKX	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.2	Fidelity Low Priced Stock FLPKX	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.3	BTC Lifepath Retirement	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Fidelity Government Money Market Fund (SPAXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.5	International Equity Fund TDQP	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brookfield Asset Management BAM	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$201 - \$1,000
2	Columbia Dividend Income Fund LBSAX	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
3	US Brokerage money market account(cash)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
4	US Brokerage money market account(cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
5	Schwab US TIPS ETF (SCHP)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	University of VA Bond Ser ABE/R	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7	US Brokerage money market account(cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Vanguard S&P 500 ETF VOO	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9	US Brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	US Brokerage money market account(cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Columbia Dividend Income Fund LBSAX	Yes	\$50,001 - \$100,000		\$201 - \$1,000
12	Fairfax County VA IDA Ser. A Bond	N/A	\$15,001 - \$50,000	Interest Capital Gains	\$201 - \$1,000
13	Virginia Commonwealth Transportation Bond RV	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
14	GNMA	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
15	Northrop Grumman Corp. (NOC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16	U.S. Bank #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
17	U.S. Bank #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
18	US Bank # 1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
19	US Brokerage money market account(cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
20	US Brokerage money market account(cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	Hennessy Small Cap Financial Fund Investor Class Shares (HSFNX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
22	GNMA	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	GNMA	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	GNMA	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	GNMA	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26	Virginia CollegeAmerica 529	No			
26.1	American Funds College 2033 Fund Class 529-A Shares (CTLAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Republic Bank	Mortgage on Personal Residence	\$250,001 - \$500,000	2016	2.75	15

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	2	This is a Special Security Agreement board membership for the US subsidiary of Leonardo LLC, an Italian company.

PART	#	ENDNOTE
1.	3	This is a Special Security Agreement board membership for the US subsidiary of a company based in Singapore
1.	10	I'm a part time employee of MBO as a vehicle to provide consulting to the Defense Advanced Research Projects Agency (DARPA). MBO is a sub-contractor to Booz Allen Corp., which is on contract with DARPA to provide consulting services.
1.	11	This is not a compensated position. I work with CAP part time on a pro bono basis.
1.	12	This is not a compensated position. I provide pro bono participation in various studies.
1.	16	Paid hourly for consulting services
2.	4	Filer is paid hourly for consulting fees
2.	5.1	After filer receives his quarterly fees they are placed into this plan and invested in the underlying investments. As of the date of this report the filer has deferred all of his 2020 fees into this plan.
2.	5.2	Filer is paid quarterly for Directors fees. At the time this report was submitted the filer had not received his 2021 1st Q fees
2.	5.3	As part of filer's compensation on the Board of Directors he is awarded annually RSU and restricted stock options in Leidos Inc. The shares vest a year from the date of grant or on the date of the next annual meeting, whichever is earlier. The annual meeting for 2021 is schedule to take place May 1, 2021.
2.	5.4	Company made contribution on the filer's behalf in lieu of stock option grants for 2020.
2.	15.2	Value includes accrued interest

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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 the 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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 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. Failure to provide the requested information may result in separation, disciplinary action, or civil action. 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 a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) 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 this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. 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 ten 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, N.W., 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).
