

OGE Form 450, 5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics (June 2015)
(Replaces January 2014 edition)

Form Approved
OMB No. 3209-0006
Page Number

CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Date Received by Agency	Executive Branch	E-mail Address	Grade
Employee's Name (Print last, first, middle initial)			
Position/Title			
Agency			
Work Phone			
Check box if Special Government Employee (SGE)			
If an SGE, Mailing Address (Number, Street, City, State, ZIP Code)			

IDENTIFYING CONFIDENTIAL FILERS

Step 1: Read the instructions on the following pages.
Step 2: For each statement below, check Yes or No to describe your situation.

- I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.
- II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.
- III. I have reportable outside positions for myself.
- IV. I have reportable agreements or arrangements for myself.
- V. I have reportable gifts or travel reimbursements for myself, my spouse, or my dependent children.

NOTE: Statement V is for annual filers only. It does not apply to new entrants and SGEs.

Step 3: If you selected Yes for any statement, you must describe the reportable interests that you have in the corresponding Part (I, II, III, IV, or V) of the form.
Step 4: Sign and date the form.
Step 5: Submit the completed form to your ethics office.

I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.

Signature of Employee _____ Date (mm/dd/yy) _____



FOR REVIEWERS' USE ONLY:
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations, except as noted in the "comments" box below.


Signature and Title of Supervisor/Other Intermediate Reviewer (if required by the agency) _____ Date (mm/dd/yy) _____
Phone Number _____ Date (mm/dd/yy) _____

This job aid is designed to assist you in determining whether a career employee should file a Confidential Financial Disclosure Report (OGE Form 450). Some Schedule C employees and special Government employees may also be required to file an OGE Form 450.


Determining Which Positions Should File A Confidential Financial Disclosure Report: A Worksheet


This job aid is designed to assist ethics officials in determining whether a career employee should file a Confidential Financial Disclosure Report (OGE Form 450). Some Special Government Employees and Schedule C employees may also be required to file confidential financial disclosure reports. If you have questions about the criteria listed below, contact your agency's Ethics Office.

I. Pay		
<p>1. <input type="checkbox"/> Is the employee's position classified at or below the GS-15 level?</p> <p style="text-align: center;">OR</p> <p><input type="checkbox"/> If the employee is not paid on the GS scale, is the employee's rate of basic pay less than 120% of the minimum rate of basic pay for the GS-15 level?</p> <p style="margin-left: 40px;">Basic pay does not include locality payments, bonuses, etc. For reemployed annuitants, the rate of basic pay is the employee's basic pay before any salary offset is applied.</p>	<p><input type="checkbox"/> Yes</p> <p>Go to question 2.</p>	<p><input type="checkbox"/> No</p> <div style="text-align: center;">  </div> <p>Your agency's Ethics Office will determine if this employee must file a public financial disclosure form.</p>
II. Type of Work Done By the Employee		
<p>2. Does the employee's work involve at least one of the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> contracting or procurements above the micro-purchase threshold; <p style="margin-left: 40px;">Example: A GS-7 Office Automation Clerk is issued a purchase card to buy office supplies for her work unit as needed. Such an employee is generally excluded from filing.</p> <input type="checkbox"/> administering, awarding, monitoring, or making determinations regarding grants, subsidies, licenses, or other federal benefits; <input type="checkbox"/> regulating, auditing, or inspecting non-federal entities*; <input type="checkbox"/> performing other activities, when those activities will have a direct and substantial effect on the financial interests of non-federal entities. <p>*<i>Non-federal entities</i> include, for example, businesses, non-profit organizations, and state and local governments.</p>	<p><input type="checkbox"/> Yes</p> <p>Go to question 4.</p>	<p><input type="checkbox"/> No</p> <p>Go to question 3.</p>
<p>3. Is the employee serving in any other position where there is a potential for conflict of interest, appearance of favoritism or loss of impartiality?</p> <p>Examples include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> investigating or prosecuting violations of criminal or civil law; <input type="checkbox"/> representing the United States in litigation or other proceedings; <input type="checkbox"/> scientific or social science research, when the research will have a direct and substantial effect on the financial interests of non-federal entities. 	<p><input type="checkbox"/> Yes</p> <p>Go to question 4.</p>	<p><input type="checkbox"/> No</p> <div style="text-align: center;">  </div> <p>If you said "no" to questions 2 <u>and</u> 3, the employee does not need to file.</p>

<p>4. Does the employee:</p> <p><input type="checkbox"/> only provide information?</p> <p>Example: A GS-13 librarian for the Patent and Trademark Office (PTO) shows PTO staff members how to research the uniqueness of an invention and design complex search queries of the agency's electronic databases. The librarian does not make decisions on the patentability of the invention.</p> <p>OR</p> <p><input type="checkbox"/> only work on administrative or peripheral matters?</p> <p>Example: A draftsman prepares the drawings to be used by an agency in soliciting bids for construction work on a bridge. He is not involved in the contracting process associated with the construction.</p> <p>Example: An agency has just hired a GS-5 Procurement Assistant who is responsible for typing and processing procurement documents, answering status inquiries from the public, performing office support duties such as filing and copying, and maintaining an online contract database. The Assistant has no actual contracting or procurement responsibilities.</p>	<p><input type="checkbox"/> Yes</p>  <p>The employee does not need to file a confidential financial disclosure report.</p>	<p><input type="checkbox"/> No</p> <p>Go to question 5.</p>
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III. Employee's Level of Responsibility

<p>5. Does the employee:</p> <p><input type="checkbox"/> engage in the work activity identified in Section II by exercising significant judgment in performing any of the following job functions?</p> <ul style="list-style-type: none"> <input type="checkbox"/> making decisions; <input type="checkbox"/> approving or disapproving; <input type="checkbox"/> making recommendations; <input type="checkbox"/> conducting investigations; <input type="checkbox"/> rendering advice or opinions. <p>OR</p> <p><input type="checkbox"/> actively supervise a subordinate's performance of any of the above-listed job functions?</p>	<p><input type="checkbox"/> Yes</p> <p>Go to question 6.</p>	<p><input type="checkbox"/> No</p>  <p>The employee does not need to file a confidential financial disclosure report.</p>
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<p>6. Does the employee receive substantial supervisory review?</p> <p>Example: A GS-13 employee at an independent grant making agency conducts the initial agency review of grant applications from nonprofit organizations and advises the Deputy Assistant Chairman for Grants and Awards about the merits of each application. Although the process of reviewing the grant applications entails significant judgment, the employee's analysis and recommendations are reviewed by the Deputy Assistant Chairman, and the Assistant Chairman, before the Chairman decides what grants to award.</p>	<p><input type="checkbox"/> Yes</p>  <p>The employee does not need to file a confidential financial disclosure report.</p>	<p><input type="checkbox"/> No</p> <p>The employee should file a confidential financial disclosure report.</p>
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