

**U.S. Department of Energy
Washington, D.C.**

NOTICE

DOE N 326.3

9-30-96
Expires: 11-30-96

**SUBJECT: ANNUAL CONFIDENTIAL FINANCIAL
DISCLOSURE REPORT (SF 450/OGE 450)**

This Notice addresses the Executive Branch confidential financial disclosure requirements. **These requirements apply to persons employed at the GS-15 level and below, except for Schedule C appointees.**¹

Forms: The Office of Government Ethics has revised the form for the Executive Branch Personnel Confidential Disclosure Report (SF 450) and published a new form, OGE 450. Filers may use either the SF 450 or OGE 450. The OGE 450 form has updated instructions and examples to aid the filer. Forms are available from your Administrative Officer.

Those DOE employees who used the SF 450 computer software to complete their report last year should use that software this year to update their report. Electronic filing is not permitted. Therefore, an employee who uses the software must print out a hardcopy of the report and sign that original.

Who must file: All employees who occupy positions at GS-15 and below must file the 450 report, unless they were required to file a Public Financial Disclosure Report (SF 278) or occupy a position that is exempt from filing as shown on the list at the end of this Notice. The exemptions, however, do **NOT** apply to any employee who holds a contracting officer

¹ Some DOE employees must file a Public Financial Disclosure Report (SF 278) which is due by May 15 each year. These employees are those occupying Senior Executive Service, Executive Schedule, and Senior-Level positions or the equivalent, members of the Board of Contract Appeals, special Government employees who work more than 60 days per year and are paid (without locality pay) at a daily rate at or above \$319, Schedule C appointees, members of the uniformed services whose pay grade is 0-7 or above, and Administrative Law Judges.

warrant or who serves as a contracting officer's representative or contracting officer's technical representative. All employees who filed an annual confidential financial disclosure report last year should file a report this year.

Also, the Department may require the 450 report from an employee who occupies a position on the exempt list but who performs duties that require a report in accordance with 5 C.F.R. 2634.904(a). Employees who are affected by this requirement will be notified on an individual basis.

Further, the 450 report is required of all special Government employees, i.e., those who serve less than 130 days during any 365-day period, who are not SF 278 filers.

Please direct any question about whether you are required to file the 450 report to your Administrative Officer. Also, if you think you might be required to file and do not receive the 450 form, contact your Administrative Officer.

When to file: The 450 report must be completed, signed, and submitted between October 1 and October 31, 1996. These reports may **NOT** be submitted before October 1, 1996.

Where to file: Unless otherwise instructed, Headquarters personnel should submit the completed and signed 450 report directly to the Office of the Assistant General Counsel for General Law, GC-80, Room 6A-211, Forrestal Building, and field personnel should submit the completed and signed 450 report directly to their respective field counsel.

The reporting period covered by the 450 report is the 12 months beginning on October 1, 1995, and ending on September 30, 1996.

For example, in Part I of the 450 report you list all the reportable assets that you owned at any time during this 12-month period, even if you did not own the asset on September 30, 1996. If you sold or otherwise transferred the asset before October 1, 1996, check the box in the second column labeled "(X) if no longer held."

Contents: The instructions on the 450 form answer most questions. Also, you may consult or copy the Review Guide, which your Administrative Officer has been provided. If you use the computer software, the "help" screens contain applicable portions of the Review Guide. The following information may be helpful to you in completing your report:

Part I: Assets and Income -- list each asset that you, your spouse, or your dependent child(ren) owned at any time during the 12-month reporting period, that was held for investment or income and that had a fair market value of more than \$1,000 on September 30, 1996 (or when sold) or produced more than \$200 of income.

Exclude your personal residence **unless** you received **rent** for part or all of it at some time during the reporting period.

Exclude your **bank accounts** or accounts in other depository financial institutions as well as money market accounts and funds; U.S. Government-backed securities; and U.S. obligations, such as Treasury bonds, bills, or notes, or U.S. Savings Bonds. **(Disregard any instruction on the SF 450 to the contrary.)**

List the holdings in an IRA or 401(k) retirement account of you or your spouse. For a pension plan, identify the name of the sponsoring employer. **If** the pension plan is not independently managed (*i.e.*, you or you spouse control the investment of the assets in the pension plan), list the underlying investments.

Report each of your sources of earned income, including honoraria, that yielded more than \$200 during the reporting period, except your employment with the Government. Report your spouse's employer(s) and other earned income that yielded more than \$1,000 of income during the reporting period. Please designate your spouse's income and assets by placing an "S" under the number on that line.

Part II: Liabilities -- list each debt that you, your spouse, or your dependent child(ren) owed to a single creditor that exceeded \$10,000 at any time during the reporting period. Exclude the mortgage(s) on your home (unless you received rent from it) and secured automobile loan(s). Also, exclude credit card debt unless the balance on the credit card account exceeded \$10,000 on September 30, 1996.

Part III: Outside Positions -- list each position that you (but not your spouse or children) held during the reporting period, whether or not you were compensated for the position. Exclude positions with the U.S. Government or religious, fraternal, or political entities.

Part IV: Agreements and Arrangements -- list each agreement or arrangement that you (but not your spouse or children) had during the reporting period regarding your future employment; any leave of absence; any severance or other continuing payments from a past employer; or any pension or employee benefit plan. Future employment includes full or part-time, consulting, writing, or teaching. Arrangements include unwritten understandings. Exclude any agreements or arrangements pertaining to your Federal employment.

Part V: Gifts and Travel Reimbursements -- list each source who provided you, your spouse, or your dependent child(ren) one or more gifts or travel reimbursements during the reporting period totaling more than \$250 in fair market value, and describe briefly each gift or travel, including itinerary and dates. In computing the \$250 aggregate amount, exclude each gift or travel reimbursement valued at \$100 or less. Special Government employees are not required to complete this part.

Common mistakes to avoid: Please check the "Annual Report" box on the first page.

Where you have nothing to report on any one of the five Parts, check the "None" box for

that Part. **Do not write in "not applicable" or "N/A".**

If you have a mutual fund to report, please provide the full name of each fund.

Additional questions: Headquarters personnel may direct questions regarding completion of the 450 report to the Office of the Assistant General Counsel for General Law (202-586-1522). Field personnel may address such questions to their respective field counsel.

Exempted Positions: Employees who hold a contracting officer warrant or serve as a contracting officer's representative or contracting officer's technical representative are **NOT** exempt by this Notice from filing the 450 report. All other employees who occupy positions in the occupational series listed below in the specified grades are not required to file the 450 report.

Positions at GS-15 or below in the following occupational series:

019	134	221	312	344	392
023	140	223	313	346	394
029	150	230	318	350	399
084	160	299	319	351	460
085	170	302	322	356	462
086	199	303	326	360	499
090	201	304	332	361	503
099	203	305	333	382	525
132	212	309	335	390	530
540	950	1341	1999	2806	4742
544	963	1371	2005	2808	4749
561	986	1374	2030	2810	5003
590	999	1399	2050	2843	5313
599	1016	1411	2099	3314	5324
603	1020	1420	2102	3502	5402
604	1060	1421	2132	3566	5407
610	1087	1499	2181	3603	5703
621	1099	1521	2199	4102	5716
699	1106	1531	2511	4204	5803
817	1107	1599	2604	4402	6907
818	1199	1670	2610	4414	
856	1202	1699	2619	4417	
899	1299	1702	2801	4605	
904	1316	1799	2805	4741	

Positions at GS-14 or below in the following occupational series:

130
131

Positions at GS-13 or below in the following occupational series:

018	180	341	671	1515	1712
028	233	342	807	1520	2003
080	235	343	1410	1529	2010
081	334	501	1412	1530	
110	340	505	1510	1550	

Positions at GS-12 or below in the following occupational series:

020	408	808	1104	1310	1654
101	415	809	1105	1311	1701
246	430	905	1140	1313	1910
260	440	930	1150	1315	2001
301	480	1001	1152	1320	2101
345	482	1015	1160	1321	2130
385	486	1035	1163	1340	2131
386	560	1071	1176	1350	2134
391	601	1082	1220	1370	2150
393	602	1083	1221	1372	2151
401	690	1084	1222	1373	
403	802	1101	1301	1601	
404	806	1103	1306	1640	

Positions at GS-11 or below in the following occupational series:

193 511
510 854

Positions at GS-9 or below in the following occupational series:

801	810	840	861	892	1102
803	819	850	880	893	1130
804	830	855	881	896	1170
					1171

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM
Assistant Secretary for
Human Resources and Administration