

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

NOTICE

DOE N 326.4

10-2-97
Expires: 10-2-98

SUBJECT: ANNUAL CONFIDENTIAL FINANCIAL DISCLOSURE REPORT (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 (political) appointees. Please disregard this Notice if you occupy a Senior Executive Service or similar position or are a non-career (i.e., political) employee.¹

Forms: The Office of Government Ethics (OGE) has replaced Standard Form 450 (SF 450) with new OGE Form 450. **All confidential financial disclosure report filers must use OGE Form 450.** Therefore, filers cannot use SF 450 computer software to file this year. OGE Form 450 has updated instructions and examples to aid the filer. Filers should obtain OGE Form 450 from their Administrative Officers. Administrative Officers may obtain the forms from supply rooms.

Who must file: All employees who have occupied positions at GS-15 and below for more than 60 days during the reporting period must file OGE Form 450, unless they are required to file a Public Financial Disclosure Report (SF 278) or they 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 holding a contracting officer warrant or serving as a contracting officer's representative or contracting officer's technical representative.

Also, the Department may require OGE Form 450 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.

All special Government employees, i.e., employees who serve less than 130 days during any 365-

¹ The following employees must file a Public Financial Disclosure Report (SF 278), which is due by May 15 each year: employees occupying Senior Executive Service, Executive Schedule, and Senior-Level positions or the equivalent; special Government employees who work more than 60 days per year and are paid (without locality pay) at a daily rate at or above \$327; Schedule C appointees; members of the uniformed services whose pay grade is O-7 or above; and Administrative Law Judges.

DISTRIBUTION:
All Departmental Employees

INITIATED BY:
Office of the General
Counsel

day period, who are not SF 278 filers are required to file OGE Form 450 when appointed and upon their respective anniversary/reappointment dates only.

When to file: OGE Form 450 must be completed, signed, and submitted between October 1 and **October 31, 1997.**

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

Reporting period: The reporting period covered by OGE Form 450 is the 12 month period beginning on October 1, 1996, and ending on September 30, 1997.

Reminders: The instructions have been updated on OGE Form 450 and should answer most questions. However, if further guidance is needed, please consult the publication, "OGE Form 450: A Review Guide," or the Department's Procedures for Confidential Financial Disclosure which have been provided to your Administrative Officer, or contact the Office of the Assistant General Counsel for General Law or your respective field counsel.

An answer must be provided to each part of the report. If the correct answer is none, you must check the "None" box. Also, the following information may prove helpful in completing the report:

Part I: All assets held as of September 30, 1997, having a fair market value of over \$1,000 should be reported on Part I of the report. In addition, all sources of income (salaries, fees, honoraria, capital gains, dividends, interest, etc.) exceeding \$200 **during the reporting period** must be reported. Income must be reported even if the source of income is no longer held at the close of the reporting period. (In such a case, the box in the second column labeled "(X) if no longer held" must be checked.)

For pension plans, you must indicate the name of the sponsoring employer. However, if you have control over the specific investments held in the pension account, you must also list the underlying investments or attach an account statement that lists them. Also, the underlying assets must be included for IRA's.

The underlying assets of a unit trust must be reported, unless widely diversified. Unit Trusts which invest in a designated group of interests, such as the Dow Jones Industrial Average, are **not** widely diversified.

For publicly available mutual funds, you must always indicate the **complete names** of the specific mutual funds.

Exclude bank accounts or accounts in other depository financial institutions, as well as money market accounts; U.S. Government-backed securities; and U.S. obligations, such as Treasury bonds, bills, or notes, and U.S. Savings Bonds.

Part II: Liabilities exceeding \$10,000 owed to any creditor **at any time** during the reporting period must be reported.

Part III: All positions held outside the U.S. Government **at any time** during the reporting period must be reported, including positions no longer held and those that are not compensated.

Part IV: Interests in employer pension plans, excluding U.S. Government plans, must be reported.

Part V: In addition to gifts, travel-related cash reimbursements received from any one source, other than the Government, during the reporting period totaling \$250 or more, must be reported.

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 OGE Form 450. All other employees who occupy positions in the occupational series listed on the following pages in the specified grades are not required to file OGE Form 450.

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

CANCELED