

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

**NOTICE**

DOE N 326.6

10-1-99

Expires: 9-30-00

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

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This Notice addresses Executive Branch confidential financial disclosure requirements. These requirements apply to career GS (GM) employees.

Who must file: All employees who have occupied positions at GS-15 and below for more than 60 days during the reporting period (October 1, 1998, through September 30, 1999) must file OGE Form 450 or 450-A, 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 list of exempted positions is the same as last year, with one exception. As of this year, all positions in occupational series 511 must file, regardless of grade.) The exemptions, however, do **not** apply to any employee holding a contracting officer warrant, serving as a contracting officer's representative or contracting officer's technical representative, or who has been issued an IMPAC Card.

Also, the Department may require OGE Form 450 or 450-A 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-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.

Forms: **All confidential financial disclosure report filers must use OGE Form 450 or OGE Form 450-A.** Filers should obtain OGE Forms 450 or 450-A from their Administrative Officers, who may obtain them from supply rooms, or directly from the internet at <http://www.explorer.doe.gov:1776/htmls/otherinfo.html>. OGE Form 450 was revised in 1999; therefore, the most recent version should be used. You may type directly on the Internet form and print immediately. However, in order to save a filled form, you must have a copy of [Adobe Acrobat](#) software.

OGE Form 450-A is an optional form, which may only be used by current employees (other than special Government employees) who already have an OGE Form 450 on file with the Department, and who meet the criteria described below. (This form will not be accepted for the 2000 annual filing.) **In order to use OGE Form 450-A, upon reviewing his or her last OGE Form 450 on file, the filer must be able to certify that since filing his or her most recent OGE Form 450:**

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**DISTRIBUTION:**

All Departmental Elements

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**INITIATED BY:**

Office of General Counsel

- A. the filer, the filer's spouse, and the filer's dependent children have no new reportable:
  - 1. assets or sources of unearned income;
  - 2. liabilities (debts); or
  - 3. gifts or travel reimbursements;
- B. the filer and the filer's spouse have no new reportable sources of income from non-Federal employment;
- C. the filer has no new reportable:
  - 1. outside positions; or
  - 2. agreements or arrangements concerning future, current, or past non-Government employment; and
- D. the filer has not changed jobs at the Department, including having a new position description or other significant change in duties.

All employees who cannot file an OGE Form 450-A who are subject to the filing requirements must file an OGE Form 450.

When to file: OGE Form 450 or 450-A must be completed, signed, and submitted between October 1 and **November 1, 1999**.

Where to file: Headquarters personnel should submit the completed and signed OGE Form 450 or 450-A 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 or 450-A directly to their respective field counsel.

Reporting period: The reporting period covered by OGE Form 450 or 450-A is the 12 month period beginning on October 1, 1998, and ending on September 30, 1999.

Reminders: The instructions on OGE Form 450 and 450-A 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 (202)586-1522, or your respective field counsel.

**If using the OGE Form 450, 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, 1999, 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.

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 certificates of deposit; 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, even if the amount owed has fallen below \$10,000 as of September 30, 1999.

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 \$260 or more, must be reported.

Exempted Positions: Employees who hold a contracting officer warrant, who serve as a contracting officer's representative or contracting officer's technical representative, or who have been issued an IMPAC Card are **NOT** exempt by this Notice from filing OGE Form 450 or 450-A. All other employees who occupy positions in the occupational series listed below in the specified grades are not required to file OGE Form 450 or 450-A.

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 | 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:



DAVID M. KLAUS  
DIRECTOR OF MANAGEMENT  
AND ADMINISTRATION