



UNITED STATES MARINE CORPS  
MARINE CORPS INSTALLATIONS EAST-MARINE CORPS BASE  
PSC BOX 20005  
CAMP LEJEUNE NC 28542-0005

MCIEAST-MCB CAMLEJO 5370.11

SJA

24 MAY 2012

MARINE CORPS INSTALLATIONS EAST-MARINE CORPS BASE CAMP LEJEUNE ORDER 5370.11

From: Commanding General

To: Distribution List

Subj: CONFIDENTIAL FINANCIAL DISCLOSURE REPORTS

Ref: (a) 5 CFR Parts 2634-2641

(b) DoD Directive 5500.7-R, "Joint Ethics Regulations," November 29, 2007

Encl: (1) Confidential Financial Disclosure Report (Executive Branch) - OGE 450 Form  
(2) Confidential Certificate of No New Interests (Executive Branch) - OGE 450-A Form  
(3) Worksheet for Determining Need to File Confidential Financial Disclosure Report

Reports Required: I. Financial Disclosure Report (Reports Control Symbol EXEMPT), par. 4c(3)

1. Situation. The confidential financial disclosure program is to prevent, identify, and resolve any conflicts of interest that could cast doubt on the ability of Marine Corps Installations East-Marine Corps Base Camp Lejeune (MCIEAST-MCB CAMLEJ) and subordinate MCIEAST commands personnel to act as stewards of the public trust.

2. Cancellation. BO 5370.11E.

3. Mission. To promulgate procedures for MCIEAST-MCB CAMLEJ and MCIEAST subordinate commands regarding the submission of enclosures (1) and (2), Confidential Financial Disclosure Report (OGE 450) and the Confidential Certificate of No New Interests (OGE 450-A).

4. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. Personnel that are required to file confidential financial disclosure reports shall do so in accordance with references (a) and (b) and the policy set forth herein.

(2) Concept of Operations. Certain personnel are required to file confidential financial disclosure reports on an annual basis or upon entering new positions. Once the reports are filed, they are reviewed by the Office of the Staff Judge Advocate (OSJA) for compliance with federal ethics regulations. A successful confidential financial disclosure program requires integrity and forthrightness from individual filers, careful attention from supervisors, and diligent review by properly trained ethics attorneys.

DISTRIBUTION STATEMENT A: Approved for public release; distribution is unlimited.

b. Subordinate Element Missions

(1) Director, Local Civilian Human Resources Office (CHRO). In accordance with section 7-301 of reference (b), the Director, CHRO shall coordinate as follows with the Officer-in-Charge, Civil Law Section:

(a) When a new employee is hired for a covered position, immediately provide the name of the employee, the position or billet, the organization, and the date the employee began work. This will allow OSJA to ensure the prompt filing of a new entrant form.

(b) Not later than 31 October of each calendar year, provide an accurate list of all personnel assigned to MCIEAST-MCB CAMLEJ who are in covered positions (This will require coordination with the supervisors of each department).

(c) Ensure that the position or billet descriptions for all covered positions indicate that such filing is necessary.

(2) Staff Judge Advocate (SJA). As the Designated Agency Ethics Official, the SJA shall:

(a) Review and maintain all completed OGE-450 and OGE-450A forms in accordance with the references.

(b) Coordinate with the Assistant Chief of Staff, G-1 to maintain an updated list of covered positions.

(c) Advise employees and supervisors regarding those positions for which filing is required.

(3) Commanders and Appropriate Supervisors shall:

(a) Not later than 1 October of each calendar year, provide a list of covered positions to the Assistant Chief of Staff, G-1. (The list should include the name of the employee currently holding the covered position and the date the employee began work in the position. Use enclosure (3) to ensure compliance with reference (b)).

(b) Ensure that all new entrant personnel that assume a covered position submit an OGE-450 form within 30 days of starting work.

(c) Review and certify the report before forwarding to OSJA.

(d) Ensure that all personnel holding covered positions submit an annual report as required.

(e) Review and certify the report before forwarding to OSJA.

c. Coordinating Instructions

(1) Determining those Personnel Required to File

(a) Definitions



1. Covered Position. A position or billet for which the filing of a confidential disclosure form is mandatory in accordance with the references.

2. Employee. For purposes of this Order, the term "employee" encompasses both military and civilian personnel who work for MCIEAST-MCB CAMLEJ and any subordinate MCIEAST command.

(2) Responsibility for Determination. Supervisors shall ensure compliance by those employees - and only those employees - who are required to file per reference (a). Correctly determining those jobs that are covered positions is crucial. Employees should not be instructed to file "just to be on the safe side." If an employee is unlikely to be involved in a real or apparent conflict of interest, is subject to a substantial degree of supervision, or exercises control over matters that are inconsequential to Department of the Navy integrity, then he or she is not in a covered position and will not be required to file.

(3) Underfiling and Overfiling. If an employee is required to file but does not (i.e., underfiling), then there is no chance to determine if a conflict of interest exists. Similarly, if employees file when not required to (i.e., overfiling), then the OSJA's ability to spot potential problems is overwhelmed by dozens or hundreds of unnecessary reports. Overfiling also results in the unnecessary disclosure of confidential and highly private financial information. Thus, either underfiling or overfiling puts the goals of the financial disclosure program at risk and must be avoided.

(4) Use of Filing Requirement Worksheet. Enclosure (3) is a step-by-step worksheet intended to assist supervisors and individual employees in determining who needs to file and who does not. This worksheet should be used prior to any determination being made. If questions remain, contact the Civil Law Section at OSJA for guidance before filing or instructing a subordinate to file. The Civil Law Section can be reached at (910) 451-5177/3122.

(5) Supervisory Discretion to Require Filing. In general, an employee who does not meet the criteria outlined in enclosure (3) is not in a covered position and will not be instructed to file. In rare cases, however, it may be appropriate to instruct an employee to file even when those criteria are not met. This will only be done when the supervisor concludes that filing is necessary to avoid an actual or apparent conflict of interest. Example: A GS-13 engineer evaluates bids for construction contracts for projects aboard a MCIEAST subordinate installation. This engineer also runs a small engineering consulting firm during off-duty hours. Although the private firm does not take as clients any companies doing business with any subordinate MCIEAST installation, it is possible that a reasonable person would perceive a conflict of interest. It would be appropriate for the supervisor to require the employee to file, even if the billet did not otherwise meet the criteria in enclosure (3).

(6) General Filing Instructions. There are two occasions that warrant the filing of a confidential financial disclosure form. These are described below.

(a) New Entrant Reports. Within 30 days of assuming a covered position, an employee shall file a new entrant OGE-450 report. A new entrant report must reflect all financial interests held during the 12 months prior

to the report being filed. However, a new entrant report is not required when the employee assumes the new position within 30 days of leaving another covered position. Example: A new GS-14 employee is hired to supervise the issuance of grants to non-federal entities. In some cases, the new employee will have the final say on who receives a grant; therefore this is a covered position. The new employee must complete a new entrant report within 30 days of starting work. However, if the employee is not new to the organization but had moved to the position from another job in which filing was also required, then a new entrant report would not be needed.

(b) Annual Reports

1. Employees who hold covered positions must turn in a report every calendar year. Reports must be signed and turned into OSJA no earlier than 1 January and no later than 15 February.

2. An annual report will cover financial interests held during the preceding calendar year. Example: An employee turning in an annual report in January 2011 would report all financial interests held between 1 January 2010 and 31 December 2010.

3. If an employee previously filed a new entrant form, then the next annual report will cover only that period not covered by the new entrant report. Example: A new employee begins work at a covered position on 15 July 2010. The employee turns in his/her new entrant form on 1 August 2010, covering the financial interests held between 1 August 2009 and 1 August 2010. In January 2011, he/she turns in an annual report to cover his financial interests between 2 August 2010 and 31 December 2010.

4. An employee is not required to file an annual report if he/she held the covered position for less than 61 days during the reporting period. Example: A new employee begins work in a position requiring filing on 15 November 2009. The employee files a new entrant report on 10 December 2009, covering the period from 10 December 2008 to 10 December 2009. The annual report for January 2010 will not be filed due to the employee not being in the position for at least 61 calendar days in 2009. The next report due will be in January 2011, to cover from 11 December 2009 to 31 December 2010.

(7) Use of OGE-450 Form. The OGE-450 is a five-part form that requires filers to disclose sources of income, assets, debts, outside positions and other agreements and arrangements for themselves and their spouses and children. See enclosure (1). An employee in a covered position must use an OGE-450 form when any of the following is applicable:

(a) When filing a new entrant form;

(b) When filing an annual form, if the filer's financial interests have changed since the previous report (Example: if a filer gained new financial assets, sources of income, or debts in the previous calendar year, then they are required to file an OGE-450 form); and

(c) When filing an annual form during a leap year (e.g., 2012, 2016, 2020, etc.) All employees in covered positions must use an OGE-450 form, even if those financial interests are unchanged from the year before. Example: All filing employees will use an OGE-450 form in January 2012 to



cover calendar year 2011, and will file an OGE-450 form in January 2016 to cover calendar year 2015.

(8) Use of OGE-450A Form. The OGE-450A form at enclosure (2) is a brief, one-page form also known as a Confidential Certificate of No New Interests. As the name implies, its use is permitted only when a filer's financial interests have not changed since the last time he or she filed an OGE-450 form. Use of an OGE-450A form is not authorized during a leap year, as noted above. A new entrant filer is also not permitted to use an OGE-450A form. When submitting an OGE-450A form, the employee must attach a copy of the most recent completed OGE-450 form. Employees are strongly encouraged to maintain copies of their previously filed forms for this reason. If a copy of the most recent OGE-450 cannot be located, then the employee cannot use an OGE-450A form and must use an OGE-450 form instead.

(9) Availability of Forms. Both the OGE-450 and OGE-450A forms are available online through the website of the DoD General Counsel ([http://www.dod.mil/dodgc/defense ethics/.](http://www.dod.mil/dodgc/defense%20ethics/)) After accessing the website, click on the "Ethics Resource Library" link located on the left side of the page. Then click on the "Forms" link.

(10) Extension of Filing Deadline. An employee may request an extension of the filing deadline for reason of duty assignment, infirmity, or other good cause. The extension request must be made in writing. When good cause exists, the Staff Judge Advocate may grant an extension of up to 60 days for an annual report and up to 90 days for a new entrant report.

(11) Submission Process

(a) Employees start the process by completing required annual ethics training. The ethics training may be completed online at [https://donogc.navy.mil/Ethics/.](https://donogc.navy.mil/Ethics/) This is a calendar year requirement and must be completed by 31 December. Once the training is complete, employees must either print out the completion certificate or save it to their computer. The completion certificate must be attached to the confidential disclosure form that is filed to cover that calendar year.

(b) Next, the employee fills out the appropriate form (OGE-450 or OGE-450A) and physically signs and dates it. Electronic signatures, while increasingly common, are not authorized by the Department of the Navy for confidential financial disclosure forms.

(c) The employee then gives the form to their immediate supervisor. The supervisor, as the person most familiar with the requirements of the employee's billet, serves as the first line of defense against potential conflicts of interest. Once the supervisor has reviewed the form and found no apparent problems, they will physically sign and date the form. Supervisors who spot potential conflicts of interest should seek further guidance from the Civil Law Section at (910) 451-3122/5177.

(d) After ensuring that a copy of the form is maintained for the employee's records, the supervisor forwards the original form in a sealed envelope to the Office of the Staff Judge Advocate (Attn: Officer-in-Charge, Civil Law Section) in Building 66, Marine Corps Installations East-Marine Corps Base Camp Lejeune 28542-0005. Forms may also be scanned and sent electronically.

(12) Avoiding Common Mistakes. The following are errors that frequently cause delays or unnecessary refilling of forms:

(a) Filling out and dating the OGE-450 or OGE-450A form too early. Example: If filing a report for calendar year 2011, the employee must wait until after 1 January 2012 to fill out, sign and date the report. A report that is dated prior to 1 January must be returned and redone.

(b) Submitting an unsigned form or one with electronic signatures. As noted above, a physical signature is currently required to certify that the report is accurate.

(c) Not attaching a copy of the most recent OGE-450 form when submitting an OGE-450A form. Use of the OGE-450A form certifies that the filer has no new financial interests. In order to evaluate compliance, the OSJA must have a copy of the most recent OGE-450 as well.

(d) Not reporting underlying assets. Many common investment assets (particularly 401(k) plans or IRA's) are actually vehicles that contain other assets such as stocks, bonds and mutual funds. Those stocks, bonds and mutual funds are the underlying assets of the 401(k) or IRA. These underlying assets must be individually reported if they meet the disclosure requirements. For example, if a stock held in a filer's 401(k) was worth more than \$1,000 or generated more than \$200 in income during the reporting period, it must be disclosed. It is not sufficient merely to disclose ownership of the 401(k), since doing so does not provide enough information for a conflict of interest analysis.

(e) Listing too many assets. Filers do not have to list any of the following on Part One of an OGE-450 form: Salaries or retirement benefits from U.S. government employment (including Thrift Savings Plan accounts); veterans benefits; a personal residence that is not rented out; ordinary savings and checking accounts; U.S. government obligations such as Treasury bonds, bills or notes; or diversified mutual funds. A mutual fund is diversified if it does not have a stated policy of concentrating its investments in any industry, business or single country outside the U.S.

(13) For answers to frequently asked questions, filers may consult the website of the Office of Government Ethics at [www.usoge.gov/forms/form\\_450\\_faqs/form\\_450\\_faqs.aspx](http://www.usoge.gov/forms/form_450_faqs/form_450_faqs.aspx).

5. Administration and Logistics. Not applicable.

6. Command and Signal

a. Command. This Order is applicable to Marine Corps Installations East-Marine Corps Base Camp Lejeune and all MCIEAST subordinate commands.

b. Signal. This Order is effective the date signed.



D. L. THACKER, JR.  
Deputy Commander

DISTRIBUTION: A



## CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

### Executive Branch

- Why Must I File?** The duties and responsibilities of your position require you to file the Confidential Financial Disclosure Report to avoid involvement in a real or apparent conflict of interest. The purpose of this report is to assist employees and their agencies in avoiding conflicts between official duties and private financial interests or affiliations. The information you provide will only be used for legitimate purposes, and will not be disclosed to any requesting person unless authorized by law. (See the Privacy Act Statement at the bottom of this page.) Please ensure that the information you provide is complete and accurate.
- When Must I File?** **New Entrants:** The report is due within 30 days of your assuming a position designated for filing, unless your agency requests the report earlier or your agency grants you a filing extension.  
**Annual Filers:** The report is due no later than February 15, unless your agency grants you a filing extension.
- What is the Reporting Period?** **New Entrants:** Report the required information for the 12 months preceding your filing of this form.  
**Annual Filers:** Report the required information for the preceding calendar year (January 1 – December 31).
- What if I Have Questions?** If you have any questions about how to complete this form, please contact your ethics official or go to the Office of Government Ethics web site at [www.usoge.gov](http://www.usoge.gov) and click on **Financial Disclosure FAQs**.

#### PENALTIES

Falsification of information or failure to file or report information required to be reported may subject you to disciplinary action by your employing agency or other authority. Knowing and willful falsification of information required to be reported may also subject you to criminal prosecution.

#### Privacy Act Statement

Title I of the Ethics in Government Act of 1978 (5 U.S.C. App.), Executive Order 12674 (as modified by Executive Order 12731), and 5 CFR Part 2634, Subpart I, of the Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this form is for review by Government officials of your agency, to determine compliance with applicable Federal conflict of interest laws and regulations. Additional disclosures of the information on this report may be made: (1) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of a violation or potential violation of law or regulation; (2) to a court or party in a court or Federal administrative proceeding if the Government is a party or in order to comply with a judge-issued subpoena; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or decision; (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) to the Department of Justice or in certain legal proceedings when the disclosing agency, and employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (7) to reviewing officials in a new office, department or agency when an employee transfers from one covered position to another, (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record, and (9) to contractors and other non-Government employees working for the Federal Government to accomplish a function related to an OGE Governmentwide system of records. This confidential report will not be disclosed to any requesting person unless authorized by law. See also the OGE/GOVT-2 executive branchwide Privacy Act system of records.

#### Public Burden Information

It is estimated that completing this form, including reviewing the instructions and gathering the data needed, takes an average of one hour. No person is required to respond to a collection of information unless it displays a currently valid OMB control number as printed in the top right-hand corner of the first page of this form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Deputy Director for Administration and Information Management, U.S. Office of Government Ethics, Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917. Do not send your completed OGE Form 450 to this address.

ENCLOSURE (1)

Date Received by Agency

Page Number

**CONFIDENTIAL FINANCIAL DISCLOSURE REPORT**  
Executive Branch

Employee's Name ( <i>Print last, first, middle initial</i> )		E-mail Address	
Position/Title		Grade	
Agency		Branch/Unit and Address	
Work Phone	Reporting Status New Entrant <input type="checkbox"/> Annual <input type="checkbox"/>		If New Entrant, Date of Appointment to Position ( <i>mm/dd/yy</i> )
Check box if Special Government Employee (SGE) <input type="checkbox"/>	An SGE is an executive branch officer or employee who is retained, designated, appointed, or employed to perform temporary duties either on a full-time or intermittent basis, with or without compensation, for a period not to exceed 130 days during any consecutive 365-day period.		
If an SGE, Mailing Address ( <i>Number, Street, City, State, ZIP Code</i> )			

Step 1: Read the instructions for Parts I through V 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.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
III. I have reportable outside positions for myself.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
IV. I have reportable agreements or arrangements for myself.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
NOTE: Statement V is for <u>annual</u> filers only. It does not apply to new entrants and SGEs.		
V. I have reportable gifts or travel reimbursements for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input type="checkbox"/>

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 ( <i>mm/dd/yy</i> )
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**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 ( <i>if required by the agency</i> )	Date ( <i>mm/dd/yy</i> )
E-mail Address	Phone Number
Signature and Title of Agency's Final Reviewing Official	Date ( <i>mm/dd/yy</i> )
Comments of Reviewing Officials	
(Check box if continued on additional page <input type="checkbox"/> )	

**ENCLOSURE (1)**



Employee's Name ( <i>Print last, first, middle initial</i> )	Page Number
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### Part I: Assets and Income

<b>Report for Yourself, Spouse, and Dependent Child:</b> <ul style="list-style-type: none"> <li>Assets held for investment with a value greater than \$1,000 at the end of the reporting period OR assets held for investment which produced more than \$200 in income during the reporting period, including but not limited to: <ul style="list-style-type: none"> <li>Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business</li> <li>Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the <u>full</u> name of the fund, not just the general family fund name)</li> <li>Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds)</li> <li>Holdings of investment life insurance</li> <li>Holdings of variable annuities</li> <li>Defined benefit pension plans provided by a former employer (include the name of the employer)</li> </ul> </li> </ul>	<b>Do Not Report:</b> <ul style="list-style-type: none"> <li>Federal Government retirement benefits</li> <li>Thrift Savings Plan</li> <li>Certificates of deposit, savings or checking accounts</li> <li>Term life insurance</li> <li>Money market mutual funds and money market accounts</li> <li>Your personal residence, unless you rent it out</li> <li>Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund</li> <li>U.S. Government Treasury bonds, bills, notes, and savings bonds</li> <li>Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child</li> </ul>
<b>Also Report:</b> <ul style="list-style-type: none"> <li><u>For yourself:</u> (1) all sources of salary, fees, commissions, and other earned income greater than \$200, (2) honoraria greater than \$200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than \$200</li> <li><u>For your spouse:</u> (1) all sources of salary, fees, commissions, and other earned income greater than \$1,000, and (2) honoraria greater than \$200</li> </ul>	<b>Do Not Report:</b> <ul style="list-style-type: none"> <li>Dependent child's earned income</li> <li>Veterans' benefits</li> <li>Federal Government salary</li> <li>Social Security benefits</li> </ul>

### Important Definitions

<b>Diversified Mutual Fund</b> – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.
<b>Sector Mutual Fund</b> – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
<b>Dependent Child</b> – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, <b>or</b> considered dependent under the U.S. tax code.

**Reportable Information** – Go to the last page to see examples of how to report assets and income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. ( <i>Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.</i> ) <b>Name of Employer or Business; Source of Fees, Commissions, or Honoraria</b> ( <i>Include brief description.</i> ) You may distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.	No longer held
1	<input type="checkbox"/>
2	<input type="checkbox"/>
3	<input type="checkbox"/>
4	<input type="checkbox"/>
5	<input type="checkbox"/>

**ENCLOSURE (1)**

Employee's Name ( <i>Print last, first, middle initial</i> )	Page Number
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**Part I: Assets and Income**

**Continuation Page**

Specific stock, bond, sector mutual fund, type/location of real estate, etc. ( <i>Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.</i> ) Name of Employer or Business; Source of Fees, Commissions, or Honoraria ( <i>Include brief description.</i> ) You may distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.	No longer held
1	<input type="checkbox"/>
2	<input type="checkbox"/>
3	<input type="checkbox"/>
4	<input type="checkbox"/>
5	<input type="checkbox"/>
6	<input type="checkbox"/>
7	<input type="checkbox"/>
8	<input type="checkbox"/>
9	<input type="checkbox"/>
10	<input type="checkbox"/>
11	<input type="checkbox"/>
12	<input type="checkbox"/>
13	<input type="checkbox"/>
14	<input type="checkbox"/>
15	<input type="checkbox"/>
16	<input type="checkbox"/>
17	<input type="checkbox"/>
18	<input type="checkbox"/>
19	<input type="checkbox"/>
20	<input type="checkbox"/>

**ENCLOSURE (I)**



<b>Employee's Name</b> ( <i>Print last, first, middle initial</i> )	<b>Page Number</b>
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## Part II: Liabilities

<b>Report for Yourself, Spouse, and Dependent Child:</b>	<b>Do Not Report:</b>
<ul style="list-style-type: none"> <li>A liability over \$10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public</li> <li>A loan over \$10,000 from an individual, such as a friend or a business associate</li> </ul>	<ul style="list-style-type: none"> <li>Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public</li> <li>Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures</li> <li>Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child</li> </ul>

**Reportable Information** – Go to the last page to see examples of how to report liabilities.

<b>Name of creditor</b> ( <i>include city and state where creditor is located</i> )	<b>Type of liability</b> ( <i>personal loan, margin account, etc.</i> )
1	
2	

## Part III: Outside Positions

<b>Report for Yourself:</b>	<b>Do Not Report:</b>
<ul style="list-style-type: none"> <li>All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: <ul style="list-style-type: none"> <li>Corporation, partnership, trust, or other business entity</li> <li>Non-profit or volunteer organization</li> <li>Educational institution</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Any position with a <ul style="list-style-type: none"> <li>Religious entity</li> <li>Social entity</li> <li>Fraternal entity</li> <li>Political entity</li> </ul> </li> <li>Any position held by your spouse or dependent child</li> <li>Any position that you hold as part of your official duties</li> </ul>

**Reportable Information** – Go to the last page to see examples of how to report outside positions.

<b>Organization</b> ( <i>include city and state where organization is located</i> )	<b>Type of organization</b>	<b>Position</b>	<b>No longer held</b>
1			<input type="checkbox"/>
2			<input type="checkbox"/>
3			<input type="checkbox"/>
4			<input type="checkbox"/>
5			<input type="checkbox"/>
6			<input type="checkbox"/>

**ENCLOSURE (1)**

<b>Employee's Name</b> ( <i>Print last, first, middle initial</i> )	<b>Page Number</b>
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### Part IV: Agreements or Arrangements

<b>Report Your Agreements or Arrangements for:</b> <ul style="list-style-type: none"> <li>Continuing participation in an employee pension or benefit plan maintained by a former employer</li> <li>A leave of absence</li> <li>Future employment, including date you accepted employment offer</li> <li>Continuation of payment by a former employer (including severance payments)</li> </ul>	<b>Do Not Report:</b> <ul style="list-style-type: none"> <li>Any agreement or arrangement related to your employment by the Federal Government</li> <li>Spouse's and dependent child's agreements or arrangements</li> </ul>
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**Reportable Information** – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement ( <i>include city and state where entity is located</i> )	Terms of Agreement or Arrangement
1	
2	
3	
4	

### Part V: Gifts and Travel Reimbursements

Fill out this part only if you are filing an Annual Report. If you are a new entrant or an SGE, skip this part.

<b>Report for Yourself, Spouse, and Dependent Child:</b> <ul style="list-style-type: none"> <li>Travel-related reimbursements (items such as lodging, transportation, and food) totaling more than \$335* from any one source during the reporting period; include where you traveled, the purpose, and date(s) of the trip</li> <li>Any other gifts totaling more than \$335* from any one source during the reporting period</li> </ul> <p>*If you received more than one gift from one source:</p> <ol style="list-style-type: none"> <li>Determine the value of each item you received from that source</li> <li>Ignore each item valued at \$134 or less</li> <li>Add the value of those items valued at more than \$134; if the total is more than \$335, then you must list those items on this form</li> </ol>	<b>Do Not Report:</b> <ul style="list-style-type: none"> <li>Anything received from relatives, the U.S. Government, D.C., state, or local governments</li> <li>Bequests and other forms of inheritance</li> <li>Gifts and travel reimbursements given to your agency in connection with your official travel</li> <li>Gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises</li> <li>Anything received by your spouse or dependent child totally independent of their relationship to you</li> </ul>
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**Reportable Information** – Go to the last page to see examples of how to report gifts and travel reimbursements.

Source	Description
1	
2	
3	

**ENCLOSURE (1)**



## EXAMPLES

### Part I: Assets and Income

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.) Name of Employer or Business; Source of Fees, Commissions, or Honoraria (Include brief description.) You may distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.	No longer held
XYZ Japan Fund (Example of sector mutual fund)	<input type="checkbox"/>
OGE Energy (Example of stock that produced more than \$200 in capital gains)	<input checked="" type="checkbox"/>
(S) OGC Communications (Example of stock held in a 401(k) plan)	<input type="checkbox"/>
ABC Healthcare Fund (Example of sector fund held in a variable annuity)	<input type="checkbox"/>
Rental Condo, Anchorage, AK (Example of investment real estate)	<input type="checkbox"/>
Bryggadune University – former employer	<input checked="" type="checkbox"/>
(S) Express Medical Clinic – employer	<input type="checkbox"/>
Association of Accountants – honoraria	<input type="checkbox"/>

### Part II: Liabilities

Name of creditor (city and state)	Type of liability (personal loan, margin account, etc.)
John Jones (Denver, CO)	Personal loan from a friend
ANW Investment Company (San Francisco, CA)	Margin account

### Part III: Outside Positions

Organization (city and state)	Type of organization	Position	No longer held
Bryggadune University (Memphis, TN)	Educational institution	Professor	<input checked="" type="checkbox"/>
ISK Family Trust (Boynton Beach, FL)	Family Trust	Trustee	<input type="checkbox"/>
Scenic Rivers Association (Nashville, TN)	Non-profit environmental organization	Member, Board of Directors	<input checked="" type="checkbox"/>

### Part IV: Agreements or Arrangements

Entity with which you have an agreement or arrangement (include city and state where entity is located)	Terms of Agreement or Arrangement
Dee, Jones & Smith (San Diego, CA)	Will receive pension benefits (defined benefit plan) (Example of continuing participation in an employee pension or benefit plan by a former employer)
Hartford & Brown (San Diego, CA)	Employment agreement with Hartford & Brown. Starting work as attorney in July 2009. Entered into agreement in October 2008. (Example of agreement for future employment)

### Part V: Gifts and Travel Reimbursements

Source	Description
Dee, Jones & Smith	Leather briefcase (Example of a gift totaling more than \$335 from one source)
CGH Culinary Institute	Airline ticket, hotel room, and meals incident to culinary seminar in Tokyo, Japan from May 1-5, 2008 (Example of travel reimbursement)

## Confidential Certificate of No New Interests (Executive Branch)

In Lieu of Annual OGE Form 450

This optional form is to be used **only** by current employees of the executive branch (other than special Government employees), in accordance with 5 CFR 2634.905(d). If you have a previous OGE Form 450 on file with your agency and can certify to all of the following statements, your agency may permit you to use this OGE Optional Form 450-A instead of filing an annual OGE Form 450. If you cannot certify to all of the following statements or otherwise do not wish to use this OGE Optional Form 450-A, you must complete a new OGE Form 450 as your annual report. Consult your agency ethics office for more information.

After examining a copy of my last confidential financial disclosure report (OGE Form 450), I certify to the following:

**A. No New Interests.** Since filing my last OGE Form 450:

1. I have no new reportable assets or sources of income, for myself, my spouse, or my dependent children;
2. I have no new reportable liabilities (debts), for myself, my spouse, or my dependent children;
3. I have no new reportable outside positions for myself;
4. I have no new reportable agreements or arrangements concerning future, current, or past non-Government employment for myself;
5. I have no new reportable gifts or travel reimbursements for myself, my spouse, or my dependent children.

(For a description of what interests are reportable, see OGE Form 450 and its accompanying instructions, and/or other agency guidance.)

**B. No Change in Position/Duties.** Since filing my last OGE Form 450, I have not changed jobs at my agency. (The term "changed jobs" includes a new position description or other significant change in duties.)

I certify that the above statements are true, complete and correct, to the best of my knowledge.

Signature of Employee \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_ Work Phone \_\_\_\_\_

Position/Title \_\_\_\_\_ E-mail Address \_\_\_\_\_

Agency/Unit and Address \_\_\_\_\_

**FILERS MUST ATTACH A COPY OF THEIR MOST CURRENT OGE FORM 450 WITH THIS FORM.**

**Supervisor's Certification.** I have reviewed the interests reported on this form in light of the duties required by the reporting individual's position. I am satisfied that there is no actual or potential conflict of interest. (If remedial action is required or additional explanation is necessary, use reverse side.)

**Supervisor's signature:** \_\_\_\_\_  
(Check box if comments are included on reverse side.) ☐

Date Received at DOD Ethics Office: \_\_\_\_\_

**ENCLOSURE (2)**



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## **Privacy Act Statement**

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Pursuant to Title I of the Ethics in Government Act of 1978 (5 U.S.C. App.) and Executive order 12674 (as modified by Executive Order 12731), the Office of Government Ethics regulations at 5 CFR Part 2634, Subpart I, permit the completion of this Certificate of No New Interests in lieu of an annual OGE Form 450, in appropriate cases.

The primary use of this form is for review by Government officials at your agency, to determine compliance with applicable Federal conflict of interest laws and regulations. Additional disclosures of this certificate may be made: (1) to a Federal, State, or local law enforcement agency, if the disclosing agency becomes aware of a violation or potential violation of law or regulation; (2) to a court or party in a court or Federal administrative proceeding, if the Government is a party or in order to comply with a judge-issued subpoena; (3) to a source, when necessary to obtain information relevant to a conflict of interest investigation or decision; (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) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (7) to reviewing officials in a new office, department or agency when an employee transfers from one covered position to another; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; and (9) to contractors and other non-Government employees working for the Federal Government to accomplish a function related to an OGE Government-wide system of records.

This Certificate of No New Interests is confidential. No member of the public shall have access to it, except as authorized by law.

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## **Penalties**

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Falsification of this certificate may subject you to disciplinary action by your employing agency or other authority. Knowing and willful falsification of the certificate may also subject you to criminal prosecution.

**ENCLOSURE (2)**

24 May 2012

## Reporting Requirement: Exempt - Financial Disclosure Report

## Worksheet for Determining Those Positions Required to File Confidential Financial Disclosure Reports

<b>Step One: Billet</b>		
1. <input type="checkbox"/> Is the service member the Commanding Officer OR Executive Officer of a Marine Corps installation, base, or air station? OR <input type="checkbox"/> Is the employee the Head or Deputy Head of a Marine Corps activity (e.g. MCCS)?	<input type="checkbox"/> IF YES TO EITHER QUESTION  The employee <u>must</u> file per Joint Ethics Regulation Section 7-300	<input type="checkbox"/> IF NO TO BOTH QUESTIONS GO TO STEP TWO
<b>Step Two: Pay Grade</b>		
2. <input type="checkbox"/> Is the employee's position classified at or below the GS-15 level? OR <input type="checkbox"/> Does the service member have the rank of O-7 or below?	<input type="checkbox"/> IF YES TO EITHER QUESTION, GO TO STEP THREE	<input type="checkbox"/> IF NO TO EITHER QUESTION, STOP! The employee may be required to file an OGE-278 Form. Contact Civil Law for guidance.
<b>Step Three: Type of Work Done</b>		
3. <input type="checkbox"/> Does the employee or service member's work involve at least one of the following: <ul style="list-style-type: none"> <li>Contracting or procurements worth more than \$2,500 per occasion or more than \$20,000 cumulatively per year?</li> <li>Administering, awarding, monitoring, or making determinations regarding grants, subsidies, licenses or other federal benefits?</li> <li>Regulating, auditing, or inspecting non-federal entities (NFE's)? Note: An NFE is any business, non-profit organization, or state and local government.</li> <li>Performing any other activity that would have a direct and substantial effect on the financial interest of an NFE?</li> </ul>	<input type="checkbox"/> IF YES GO TO STEP FOUR	<input type="checkbox"/> IF NO, GO TO QUESTION 4
4. <input type="checkbox"/> Is the employee or service member serving in any other position where there is a potential for conflict of interest, appearance of favoritism or loss of impartiality? Examples include: <ul style="list-style-type: none"> <li>Investigating or prosecuting violations of criminal or civil law.</li> <li>Representing the United States in litigation or other proceedings.</li> <li>Scientific or social science research, where such research will have a direct and substantial effect on the financial interests of an NFE.</li> </ul>	<input type="checkbox"/> IF YES GO TO STEP FOUR	<input type="checkbox"/> IF NO, GO TO QUESTION 5
5. <input type="checkbox"/> Is the employee or service member authorized to make purchases worth more than \$150,000 per year? OR <input type="checkbox"/> Does the employee or service member certify or approve purchases made by others that cumulatively exceed \$150,000 per year?	<input type="checkbox"/> IF YES GO TO STEP FOUR	<input type="checkbox"/> IF NO STOP! If the answer was "no" for question 3, 4 and 5, then the employee does NOT need to file.
<b>Step Four: Level of Responsibility</b>		
6. <input type="checkbox"/> Does the employee or service member carry out one of the functions identified in Step Three by exercising <b>significant judgment</b> in any of the following ways: <ul style="list-style-type: none"> <li><i>Making decisions?</i> (Example: Having final say on who is awarded a grant or contract).</li> <li><i>Approving or disapproving?</i> (Example: Having authority to decide if an NFE will be given a license)</li> <li><i>Making recommendations?</i></li> <li><i>Conducting investigations?</i></li> <li><i>Rendering advice or opinions?</i></li> </ul> OR <input type="checkbox"/> Does the employee actively supervise a subordinate who has any of the job functions listed above?	<input type="checkbox"/> IF YES TO EITHER QUESTION, GO TO QUESTION 7	<input type="checkbox"/> IF NO TO BOTH QUESTIONS, STOP! If the employee does not exercise this kind of judgment, then he or she does NOT need to file.



24 May 2012

<p>7. <input type="checkbox"/> Does the employee or service member carry out one of the functions identified in Step Three by:</p> <ul style="list-style-type: none"> <li>• <i>Simplifying providing information?</i> (Example: A GS-11 engineer provides input as to whether a bid for a contract will satisfy the Base's requirements, but does not make the final decision and is not otherwise involved in the contracting process. There is no need for the employee to file).</li> </ul> <p>OR</p> <ul style="list-style-type: none"> <li>• <i>Working on administrative or peripheral matters?</i> (Example: An administrative assistant prepares the documents used to solicit bids for a contract and performs other office support duties, such as maintaining a database or replying to enquiries. There is no need for the employee to file.)</li> </ul>	<p><input type="checkbox"/> IF YES TO EITHER QUESTION, <b>STOP!</b> If the employee's duties are of this nature, then he or she does NOT need to file.</p>	<p><input type="checkbox"/> IF NO TO BOTH QUESTIONS, GO TO QUESTION 8</p>
<p>8. Do the employee's actions or decisions receive <b>substantial supervisory review</b>? (Example: A GS-13 employee conducts the initial agency review of license applications submitted by NFE's. Although this involves significant judgment, the employee's recommendations are reviewed by a supervisor who ultimately decides whether to grant the license. This employee does not need to file.)</p>	<p><input type="checkbox"/> IF YES, <b>STOP!</b> This employee does NOT need to file.</p>	<p><input type="checkbox"/> IF NO, THEN THE EMPLOYEE IS REQUIRED TO FILE.</p>