

## TIPS FOR COMPLETING OGE FORM 450

*Please see the instructions & form for specific information on reporting requirements.*

1. Cover Page. Form must be June 2015 edition. DO NOT USE prior versions. Form is fillable by computer. If unable to complete by computer, typewriting is not necessary, but please write legibly if handwritten. Please do not use acronyms.
  - a. E-mail Address. Enter your email address.
  - b. Work Phone. Phone number you can most likely be reached at.
  - c. Reporting Status. Check “**New Entrant**.” Reporting Status for Special Government Employee members is always "New Entrant" even for persons who are renewed year after year. Each appointment requires a "New Entrant" form, even though the appointment is considered a "renewal" in HR terms.
  - d. If New Entrant, Date of Appointment to Position. Leave blank.
  - e. Complete Step 1. Important - read through the instructions for each of the sections (Parts I-IV) to understand the requirements and determine if you have any reportable information for that particular section.
  - f. Complete Step 2. Answer YES or NO for Statements 1-IV. Note: Statement V does not apply to SGEs, so always leave Statement V blank.
  - g. New Entrants will enter the reportable information for the 12 months preceding your completion of the OGE 450. Current members will enter reportable information for the previous calendar year.
  - h. You must sign and date the report no later than 30 days after the date of appointment. A report is considered filed, after *your supervisor has review and sign your report*, when it is received in the Standards of Conduct Office.

*Remember failure to comply may result in remedial administrative action.*

2. Do Not Include Blank Pages. If you do not have reportable information requiring completion of any part or continuation page, there is no need to include the pages for that particular part or parts. If you answer NO to all statements, you need only submit the cover page. If you answered YES to Statements I, II and III, you need only to submit those pages applicable to Parts I, II, and III.
3. Continuation Sheets. Include continuation sheets only if needed. If you do not need continuation sheets, the report consists of five pages (including the cover/signature page). Enter your name and page number at the top of each page submitted.
4. Part I: Assets and Income. Assets must be identifiable. Remember to report interests for you, your spouse and dependent children.
  - a. *Do not report*:
    - Your personal residence, unless you rent it out
    - Federal government salary or retirement benefits such as the Thrift Savings Plan
    - Social Security benefits or veterans benefits

- Diversified mutual funds
- Term life insurance
- Value of assets or income

<u>Examples:</u>	<u>Incomplete Entries:</u>	<u>Complete Entries:</u>
Other Income	Second job	Georgetown Univ. Washington, DC
	Rental property	Rental Condo, Roanoke, VA
Asset	Stocks	Verizon
	Bonds	Mississippi State Municipal Bond
Sector Funds	Vanguard IRA	Vanguard Real Estate Fund (IRA)

- b. Funds Not Fully Identified. “Mutual Fund” or “Fidelity Mutual Fund.” is inadequate reporting. You must provide the full, specific name of each of sector funds, e.g., “Fidelity Select Air Transportation Portfolio Fund.” If possible, please include the ticker symbol (FSAIX).
- c. Brokerage Accounts (including managed and retirement accounts, IRAs and 401Ks). The assets held in the account which meet reporting thresholds must be separately reported, e.g., “Smith Barney Brokerage account” is insufficient.
- d. Pension Plans. Identify the name of the former employer and whether the plan is a “defined benefit” or “defined contribution.” If a defined contribution, you must list reportable underlying assets.
- e. College Savings Accounts (e.g., 529) identify the state and which investment option you elected, if applicable.
- f. Rental Property. List the city and state where the property is located, *not* the street address.
- g. Honoraria (for yourself only). Provide the name of the source, city and state where located, and check the right column “NO LONGER HELD” box.
- h. Life Insurance. List the name of the insurer and annotate the type of insurance (e.g. whole, universal, or variable). For variable life insurance, list the specific names of the underlying non-diversified mutual fund investments options as separate line items.
- i. Spousal Income. If your spouse is employed by someone other than the Federal Government, list your spouse’s employer, include the city and state where the employer is located. If not apparent by the name of the entity, you must disclose the nature of the business. Do not disclose salary amount. Precede the entry with (S).
- j. Spouse’s Pension / Retirement Plan. Report the plan. If it includes only diversified mutual funds - which are no longer required to be reported - simply note this in

parenthesis (e.g., “Mitre Corp, Alexandria, VA, 401k (invested entirely in diversified mutual funds”). Precede the entry with (S).

- k. Trusts and Partnerships. You must disclose underlying assets, and list positions you hold in Part III (Outside Positions).

5. **Part II: Liabilities**. *Do not report any of the following:*

- Mortgages on your personal residence unless you rent it out
- Commercially available loans
- Liabilities you owe to spouse, parent, sibling, or dependent child

6. **Part III: Outside Positions**. *Do not report any of the following:*

- Any position with a Religious, Social, Fraternal, or Political entity
- Any position held by your spouse or dependent child
- Any position you hold as part of your official duties

7. **Part IV: Agreements or Arrangements**. *Do not report any of the following:*

- Any agreement or arrangement related to Federal Government employment
- Spouse’s or dependent child’s agreements or arrangements

8. SGE & IPA Appointees. Complete Parts I (Assets and Income), II (Liabilities), III (Outside Positions), and IV (Agreements or Arrangements). List the position held with your parent organization at Part III. In Part IV, you must indicate the nature of your retirement accounts (401k, Stock plan, Defined Benefit Retirement, etc.) You should also disclose the potential for future employment at the close of the IPA assignment in Part IV. List your parent organization as your employer in Part I, as well as the reportable underlying assets of your continuing 401k or other pension plans.

9. Make a copy for your records. The original must be submitted to the Executive Director, Defense Business Board for review and certification.

10. If you have questions concerning completion of the OGE 450, contact the Executive Director, Defense Business Board, at (703) 695-7563, or call the main office at (703) 697-2168. You may also contact an ethics officer directly by calling (703) 695-3244 or emailing your question(s) to [soco@dodgc.osd.mil](mailto:soco@dodgc.osd.mil).

**OTHER ETHICS REQUIREMENTS** - As an OGE Form 450 filer triggers other ethics requirements:

- TRAINING. You must complete one-hour of annual ethics training, prepared by this office, before December 31, each year you hold this position; and
- REPORTS. You must file a new report as part of your annual appointment renewal.