Financial Disclosure Management

User Guide

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Introduction to FDM

Financial Disclosure Management

Financial Disclosure Management (FDM) is an online tool that streamlines the financial disclosure reporting and review process. Its unique wizard design walks you through the form filing and review process.

Accessing FDM

Before you can log in to the Financial Disclosure Management system (FDM), you must be a registered FDM user.

1. Log onto your computer, open a web browser, type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.

Important Information

Website Security Certificate Message

Some users may receive the message, "There is a problem with this website's security certificate." This is an Internet Explorer message to indicate to users that they are on a secure site, and (just as importantly) that the secure site is the one that they were expecting to visit.

a. Click **"Continue to this website (not recommended)."**

b. If you receive this message, please notify your local PC Support help desk or the FDM Service Center: FDM Help & Support to ensure the appropriate PKI certificates for FDM are loaded on your PC.

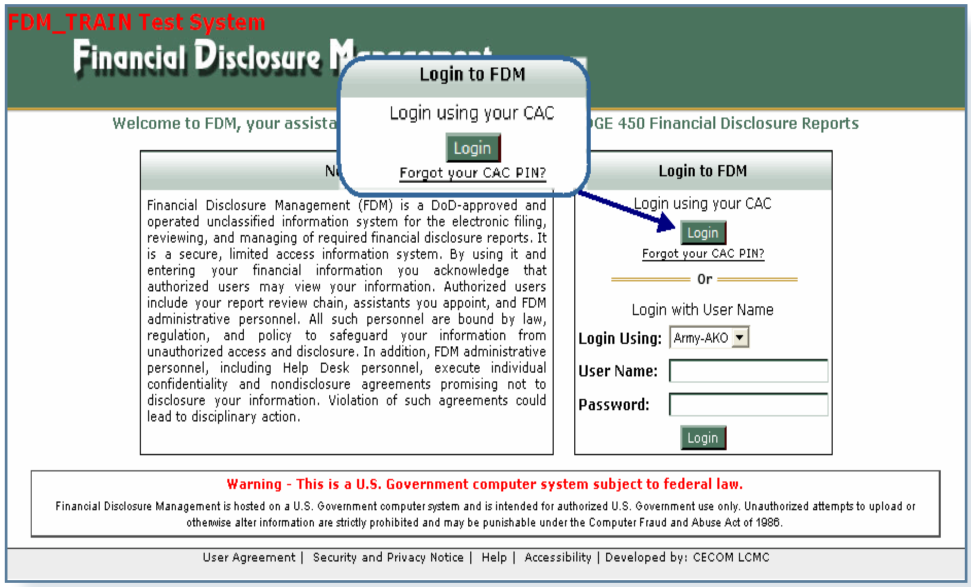
2. Click **Login** to FDM on the left side of the screen. The Login to FDM page is displayed.

Logging In

There are two different login methods for FDM, using your CAC (Common Access Card) or using your User Name and Password.

Logging In Using Your CAC

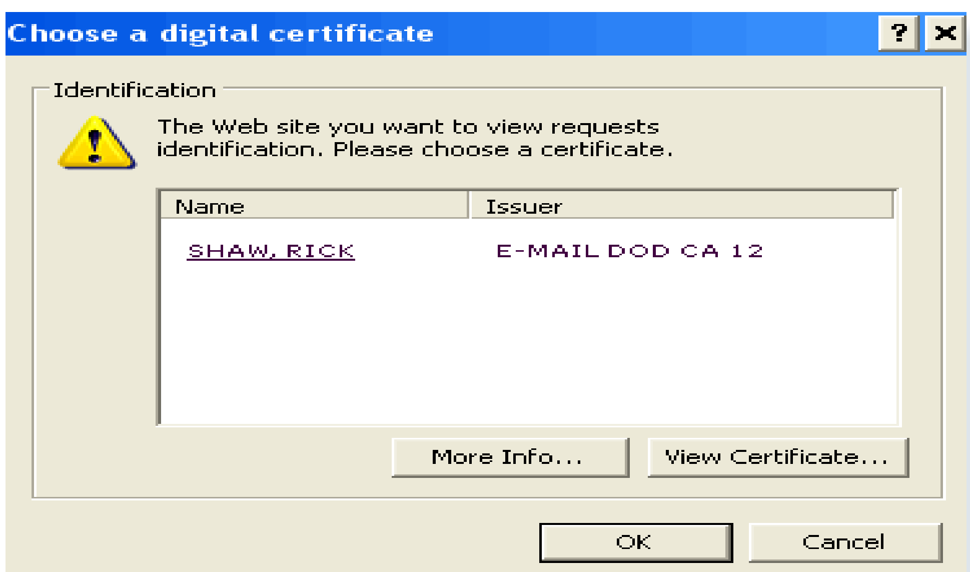
Figure 1. CAC Login



3. On the Login page, click the **Login** button under **Login Using Your CAC section**.

Selecting a Certificate

Figure 2. Select Certificate



4. Select your certificate and then click **OK.**

What if I Have Several Certificates Listed?

You may have several certificates listed. Select any certificate that contains your name; however, be sure to check the expiration date to ensure that the certificate has not expired. Always pick the highest numbered one (or the one that has not expired). To check the certificate expiration, highlight a certificate and then click **View Certificate**. Pick an unexpired certificate.

What if I forget my CAC PIN?

If you do not know your CAC PIN or if you have locked out your CAC PIN, contact the central processing/badge office or Local Registration Authority (LRA) to reset your CAC PIN.

What if the Access Denied Page Displays?

If the Access Denied page displays after you have tried logging in using your CAC, contact your Agency POC or your local legal advisor to check if you are registered in FDM. Have your e-mail address available so they can verify your access to FDM.

If access is still denied, your CAC may not be registered properly with AKO www.us.army.mil and FDM. Go to the Army users with new or recently issued CACs section on the lower right side of the FDM Home page.

If you have an AKO e-mail account, you should try accessing FDM using your AKO Username and Password. See the next section, Logging in with User Name for more information.

Click the CAC FAQs link in the upper right corner of the FDM Home page for more troubleshooting tips.

Figure 3. CAC PIN Window

5. Enter your **CAC PIN** and then click **OK**.

Logging in with User Name

1. In your web browser type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.

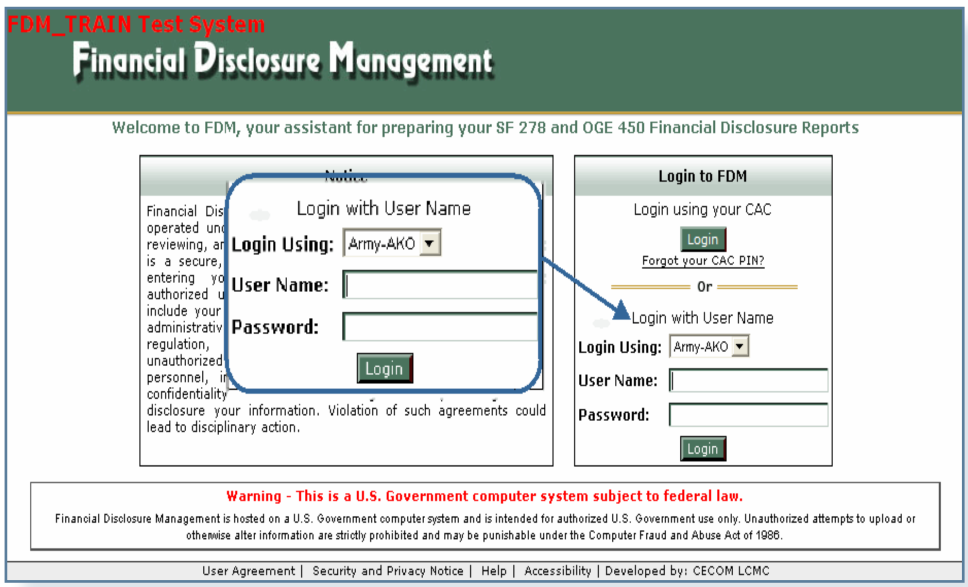
Website Security Certificate Message

Some users may receive the message. "There is a problem with this website's security certificate."

2. Click **"Continue to this website (not recommended)."**

3. Click **Login to FDM** on the left side of the FDM Home page.

Figure 4. Login with User Name



3. Select your appropriate authenticating source (agency) from the Login Using drop-down.

4. Enter your **User Name** and **Password**. The My Contact Info page will display for new FDM users.

What if I Receive a Message that My User Name or Password is Incorrect?

If you receive a message that your Username or Password is incorrect, check your Username and Password you entered remembering that Passwords are case sensitive and user names do not include the suffix@abc.gov. Make sure your cap locks key is not set ON and enter in your credentials again. After 3 unsuccessful attempts, FDM will lock you out for 30 Minutes. If you try entering FDM after the 30 minutes and you continue to fail, please contact the FDM Support Desk FDM Help & Support so they can check your username.

If you are still having trouble accessing FDM, please contact your Agency POC or your local legal advisor to check if you are registered in FDM. Have your e-mail address available so they can verify your access to FDM.

Logging Out

Selecting Log Out is your way of concluding your online session and maintains the security and privacy of your financial disclosure report information by closing the connection to FDM.

1. You can log out at any time by clicking **Log Out** in the top right corner of any FDM page.

Exploring FDM

FDM is personalized to your FDM role. Filers, Legal Reviewers, Supervisors and POCs only see tabs and menus relevant to their role. FDM has a two-tier menu structure. Tabs represent the top tier menu items. Some tabs have second tier (sub-menu) functions available. A highlighted tab provides a visual cue to your location within the FDM process.

My Info - Provides all FDM users access to their Contact Information and User Profile. You can also manage your Assistants, Ethics Counselors, Filers and their assigned reports from this tab.

My Reports - Provides Filers with a listing of their assigned and/or existing financial disclosure reports in FDM. Filers can also create or amend financial disclosure reports from this tab.

Admin - Select FDM users can add or edit FDM users and manage Org Units from this tab. The sub-menu items that display are dependent upon your FDM role(s).

Management Reports - Provides Administrative and Legal FDM Users a tool for monitoring the filing and reviewing progress of disclosure reports.

Assist Filers - Provides a listing of all the financial disclosure reports created by the Filer(s) you are assisting. Filer Assistants can also create financial disclosure reports for the filers they assist from this tab.

Ethics Training - Provides Ethics Counselors the ability to notify Filers about ethics training and to record who attended training.

Resources - Provides access to financial disclosure forms and other important ethics information you may need to assist you with filing or reviewing a financial disclosure report.

My Reviews - Provides for Reviewers a listing of the financial disclosure reports created by the Filer(s) and the report's status. Select FDM users can also send reminder notifications to Filers and Supervisors.

My Reports

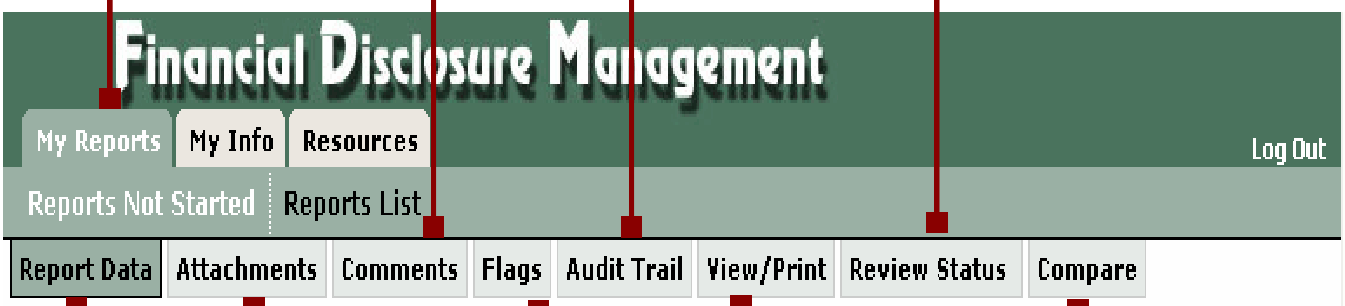
My Reports is a Filer's default home page. Reports Not Started and Reports List are sub-menus within My Reports that display a list of assigned and/or existing financial disclosure reports in FDM. Within the My Reports, Filers can create, edit or amend reports and

Audit Trail - Tracks all changes made to an OGE 450 or OGE 278 report after the report has been submitted. A Filer can readily see the event on the page, i.e., added a comment, amended a report, etc.

My Reports - FDM has two My Reports views: Reports Not Started and Reports List. Use Reports Not Started to create assigned reports. Use Reports List to begin their reports ahead of being assigned the task.

Comments - Allows Filers to record substantive or non-substantive comments to a specific report.

Review Status - Allows Filers to view the report, the sign-off progress, the assigned reviewers, and the review and signature dates.



Flags -Alerts Filers of any incomplete or missing information. Filers can correct any errors directly from this sub-menu.

Compare - Allows Filers to easily compare changes/ differences between last year's report and this year's report on one page. This feature is only available if the Filer prepopulated from a previous report.

Attachments -Allows Filers to add, view, replace and delete attachments associated with an OGE 450 or OGE 278 report.

View/Print - Provides Filers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

Report Data - Provides Filers with the main OGE 450 and OGE 278 sections for preparing a financial disclosure report.

My Reviews

My Reviews is a Reviewer's default home page. Remind Filers, Remind Supervisors, and Review Reports are sub-menus within My Reviews that allow reviewers to monitor the filing and review progress or reports as well as review existing financial disclosure reports in FDM. Within the Review Reports, Reviewers can opt to End Review, eSign or View any associated Filer reports.

Previous Reports - FDM Reviewers can request to obtain copies of a Filer's previous reports to help them complete their review a disclosure report

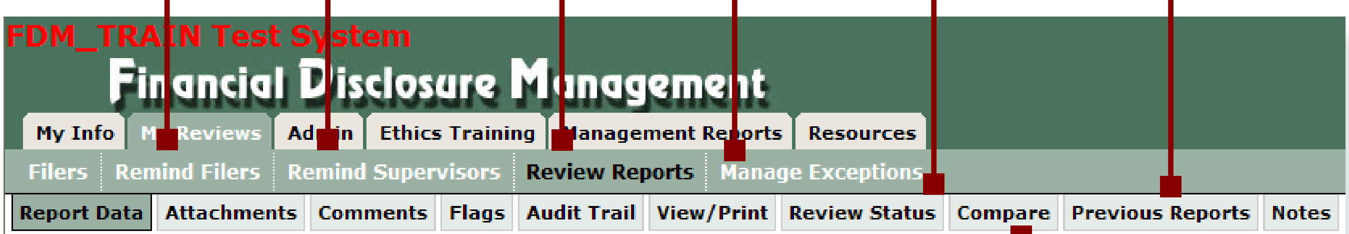
Remind Supervisors - Allows POCs, Supervisors and 450 Certifiers to monitor Supervisor's review progress.

Manage Exceptions - The Manage Exceptions List displays reports that need special attention.

Review Status - Allows Reviewers to view the report, the sign-off progress, the assigned reviewers, and the review and signature dates. Reviewers can opt to Record an extension, End Review or eSign a financial disclosure report.

Remind Filers - Allows POCs, Supervisors and 450 Certifiers to monitor the filing progress of their Filers.

Review Reports - Reviewers can opt to End Review, eSign or View any associated Filer reports.



Report Data - Provides Filers and Reviewers with the main OGE 450 and OGE 278 sections for preparing a financial disclosure report.

Comments - Allows Reviewers to record substantive or non-substantive comments to a specific report.

Audit Trail - Tracks all changes made to an OGE 450 or OGE 278 report after the report has been submitted. A Filer or Reviewer can readily see the event on the page, i.e., added a comment, amended a report, etc.

Compare - Allows Reviewers to easily compare changes/ differences between last year's report and this year's report on one page. This feature is only available if the Filer prepopulated from a previous report.

Notes - The Notes tool acts as a reminder that action needs to be taken on a particular report.

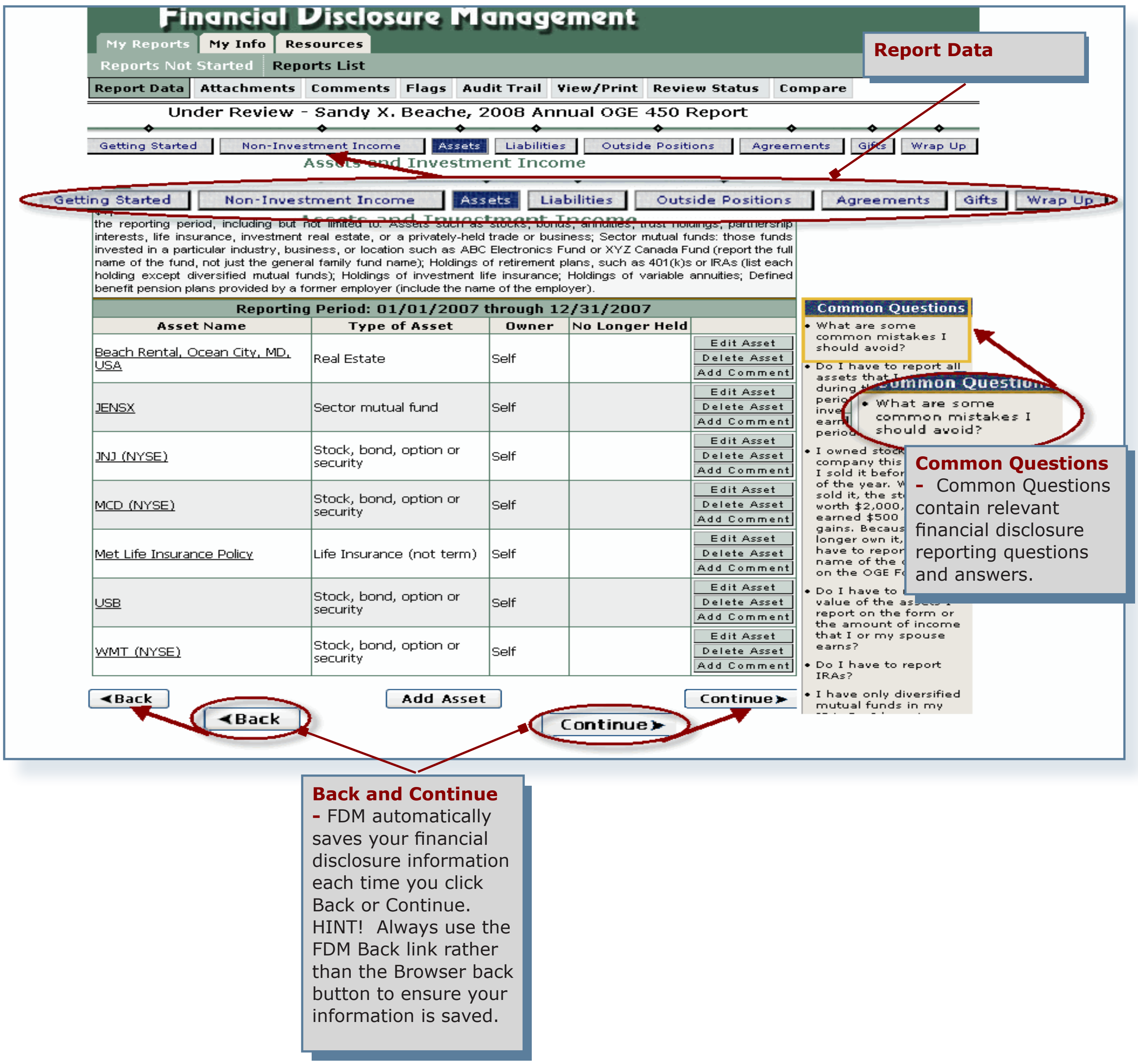
Attachments -Allows Reviewers to add, view, replace and delete attachments associated with an OGE 450 or OGE 278 report.

Flags -Alerts Reviewers of any incomplete or missing information. Filers can correct any errors directly from this sub-menu.

View/Print - Provides Reviewers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

Report Data Navigation

Report Data is the main area used for preparing a financial disclosure report in FDM. When working within Report Data, the appropriate OGE 450 and/or OGE 278 reporting section labels display across the top of your report allowing easy navigation to a specific report section at any time. As you enter information, each section highlights allowing you to keep track of your location within a report.



Financial Disclosure Report Types

FDM's wizard design walks you through the OGE 450 and OGE 278 filing and reviewing process quickly and effectively.

Reporting Status

OGE 450

Whether an individual needs to file one of these forms depends on the person's rank/grade or responsibilities held in their official position.

The OGE 450 is a confidential financial disclosure report and has two different Reporting Statuses: Annual and New Entrant.

Annual	Select **Annual** if you filed a report in the previous year and are still in the same position as when you filed your last disclosure report. An Annual Report is due annually, no later than the February 15th following the covered reporting calendar year.
New Entrant	Select **New Entrant** if this is the first time you are filing a disclosure report. The New Entrant report must be filed within 30 days of assuming a new position.

OGE 278

The OGE 278 is a public financial disclosure report that has four different Report Statuses in FDM: Incumbent, New Entrant, Termination, and Incumbent/Termination.

Incumbent	Select **Incumbent** if you filed a report in the previous year and are still in the same position as when you filed your last disclosure report. An Incumbent report is due annually, no later than May 15th following the covered reporting calendar year.
New Entrant	Select **New Entrant** if this is the first time you are filing a disclosure report. The New Entrant report must be filed within 30 days of assuming a new position.
Termination	Select **Termination** if you are leaving a covered position, which required you to file a OGE 278.
Incumbent/ Termination	Select **Incumbent/Termination** if you anticipate leaving your covered position within 90 days after the May 15th annual deadline and have requested and received an agency extension.

Filing Time Frame

- New Entrant - Must be submitted within 30 days of assuming a position designated for filing and covers the preceding 12 months.
- Annual (OGE 450) - You must file by Feb. 15 for the previous calendar year (covers Jan. 1 through Dec. 31)
- Incumbent (OGE 278) - You must file by May 15 for the previous calendar year (covers Jan. 1 through Dec. 31)
- Termination (OGE 278) - On or before the 30th day after departure from a covered position (this includes departing from a public Filer position to a confidential Filer position).

Extensions

Filers should contact one of their review chain participants to alert them that an extension request will be submitted

An Agency Ethics Official grants extensions outside of FDM. In FDM, certifying authorities, Senior Legal Counsel, Ethics Counselors and DAEOs can record if an extension was granted for a financial disclosure report.

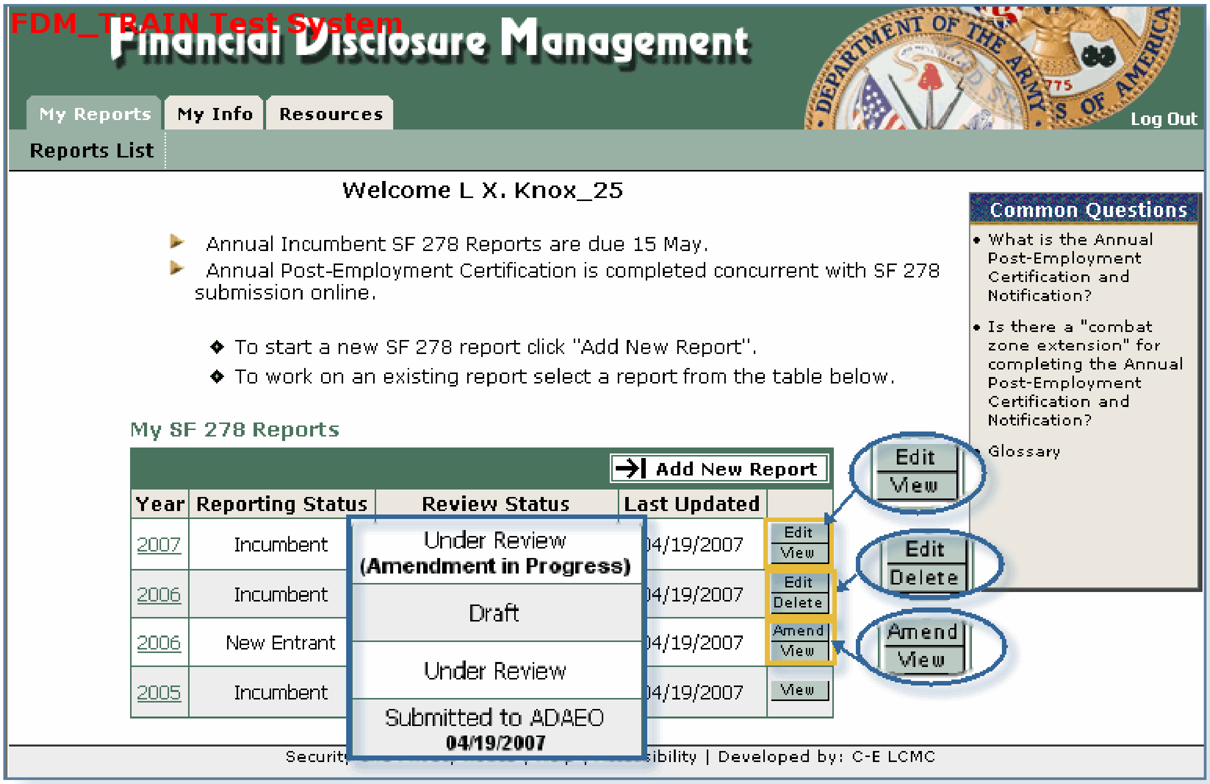
Entering an extension in FDM records the new filing due date of the financial disclosure report. See Recording Extensions for more information.

Special Government Employees (SGEs)

All SGEs who work in excess of 60 days, must file either an OGE 278 or an OGE 450 upon each appointment and with each reappointment.

Report Review Stages

The OGE 278 report has five separate review stages while the OGE 450 goes through only four. You can amend a report once it has been eSigned and submitted.



Review Status

- Only the OGE 278 requires submission to a DAEO to complete the financial disclosure reporting cycle.

- Amendments cannot be made once a financial disclosure report is submitted to a DAEO or complete.

Draft	The financial disclosure report is currently in progress and has not been signed or submitted for review by a Filer. A Reviewer can view a draft report but cannot eSign.
Under Review	The Filer has signed and submitted their financial disclosure report for review. A Reviewer can complete their part of the review process.
Under Review (Amendment in Progress)	The Filer has signed submitted their financial disclosure report for review but is now making amendments (adjustments or corrections.)
Submitted to DAEO (OGE 278 Only)	The Senior Legal Counsel has eSigned and submitted the report to the DAEO for review. Only the OGE 278 requires a DAEO's review and signature.
Complete	All reviews of the report are complete. At this time, Filers and Reviewers can only view the financial disclosure report.

FDM Roles and Functions

In FDM, users are assigned roles based upon their responsibilities within the financial disclosure process. The roles within FDM can be grouped into four categories: Filer, Assistant, POC and Reviewer.

Some FDM users can have overlapping responsibilities and multiple roles to help expedite the disclosure process. A user's location in the role hierarchy reflects the authority and responsibility they have in FDM. All other FDM users must be assigned specific roles by an existing FDM user. The FDM roles and responsibilities are outlined below.

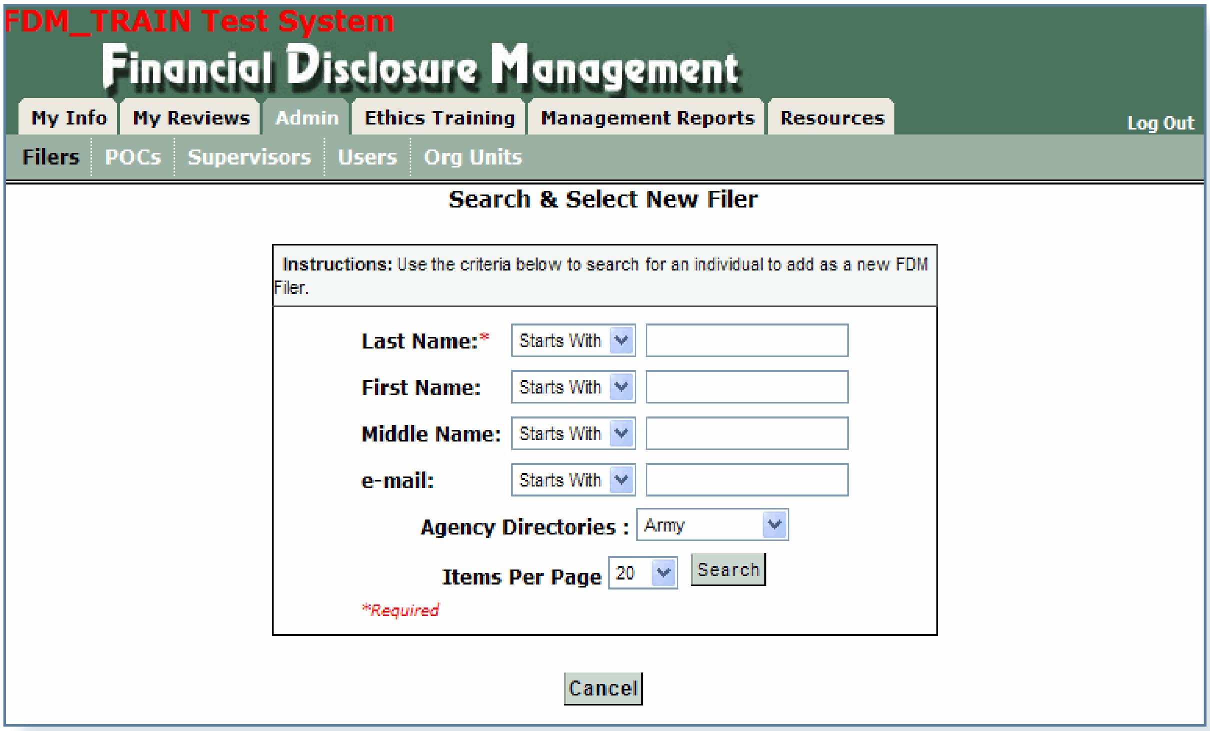
Role	Description	Functions within FDM
Filer	Creates/edits/amends and eSigns a financial disclosure report.	• My Reports - can create, view, edit, and amend their own financial disclosure reports. Can delete own draft reports. • My Info - manage contact information, Filer Assistants and review chain.
Filer's Assistant	Assists Filers in managing their reports	• Assist Filers - can create, view and edit reports for a Filer. Can delete draft reports. • My Info - manage contact information.
POC	A POC helps manage reporting activities in FDM such as when to file and who should file.	• My Info - manage contact information. • Admin - manage Filers, Supervisors and other POCs. • My Reviews - Can review the reports progress. Can also send notifications to delinquent Filers.
Supervisor	The FDM Supervisor is the Supervisor who is responsible for reviewing the Filer's financial disclosure report.	• My Info - manage contact information and Assistants. • My Reviews - can review, eSign their Filer's financial disclosure reports. Can submit OGE 278 financial disclosure reports to DAEO. Can also send notifications to delinquent Filers. • Admin - manage Filers, Supervisors, POCs and users. • Management Reports - view standard summary reports.

450 Certifier	The 450 Certifier is the final reviewing official (e.g., ethics counselor or ethics official) who ensures the OGE 450 is properly completed, checks for conflicts of interest, and certifies the report with their signature. A 450 certifier can eSign and complete a 450 financial disclosure report in FDM.	• My Info - manage contact information, ECs and Assistants. • My Reviews - can review, eSign and complete their Filer's OGE 450 financial disclosure reports. Can send notifications to delinquent Filers and Supervisor reviewers. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. • Admin - manage Filers, Supervisors, POCs and users. • Management Reports - view standard summary reports.
450 Certifier Assistant	450 Certifier Assistants are generally paralegals appointed by a Senior Legal Counsel in the system. A 450 Certifier Assistant can add an Ethics Counselor to a 450 Certifier's pool of EC's. They can perform the same functions as a 450 Certifier with the exception of eSigning a report.	• My Info - manage contact information. • My Reviews - can review their Filer's OGE 450 financial disclosure reports. Can send notifications to delinquent Filers and Supervisor reviewers. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. Admin - manage Filers, Supervisors, POCs, and users. • Management Reports - view standard summary reports.
450 Certifier Ethics Counselors	450 Certifier Ethics Counselor's are a pool of ethics counselors selected by a 450 Certifier to aid in the review of a report. They can perform the same functions as a 450 Certifier.	• My Info - manage contact information. • My Reviews - can review, eSign and complete their Filer's OGE 450 financial disclosure reports. Can send notifications to delinquent Filers and Supervisor reviewers. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. • Admin - Manage Filers, Supervisors, POCs, and users. • Management Reports - view standard summary reports.

Senior Legal Counsel (SLC)	Only a DAEO can appoint an SLC in the system.	• My Info - manage contact information, Assistants and ECs. • My Reviews - can review, eSign and submit their Filer's OGE 278 financial disclosure reports to DAEO. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. • Admin -manage Filers, 450 Certifiers, Supervisors, POCs and users. • Management Reports - view standard summary reports.
SLC Assistant	SLC Assistants are generally paralegals appointed by a Senior Legal Counsel in the system. An SLC Assistant can add an Ethics Counselor to an SLC's pool of EC's. They can perform the same functions as a Senior Legal Counsel with the exception of eSigning a report.	• My Info - manage contact information. • Review Reports - can review their Filers financial disclosure reports. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. • Admin - manage Filers, 450 Certifiers, Supervisors, POCs, and users. • Management Reports - view standard summary reports.
Senior Legal Counsel Ethics Counselors	Senior Legal Counsel Ethics Counselor's are a pool of ethics counselors selected by an SLC to aid in the review of a report. They can perform the same functions as a Senior Legal Counsel.	• My Info - manage contact information. • My Reviews - can review, end review and eSign their Filer's OGE 278 financial disclosure reports. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. • Admin - manage Filers, 450 Certifiers, Supervisors, POCs, and users. • Management Reports - view standard summary reports.
DAEO	The DAEO is the final legal reviewer who eSigns the OGE 278 in FDM.	• My Info - manage contact information, Assistants and ECs. • My Reviews - can review, eSign and complete their Filer's financial disclosure reports. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. • Admin - manage Filers, 450 Certifiers, Supervisors, POCs, SLCs and users. • Management Reports - view standard summary reports.

DAEO Ethics Counselors	DAEO Ethics Counselor's are a pool of ethics counselors selected by a DAEO to aid in the review of a report. They can perform the same functions as a DAEO.	◆ My Info - manage contact information, Filers and Required Activities. ◆ Review Reports - can review, eSign and complete Filer reports for their Filer's DAEO. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention. ◆ Admin - manage 450 Certifiers, Supervisors, POCs, SLCs and users. ◆ Management Reports - view standard summary reports My Info

Search Tips



On any FDM search page, fill in any combination of fields and click **Search**. A listing matching your search criteria is located at the bottom of the search page. Click **Select** beside the matching search item.

What to do if no matches are found

There are several reasons why no matching items may be found even when you have reason to believe there probably are some listings:

- The search may be too narrow. Try a wider search by entering less information, i.e., only a last name.
- Something may have been misspelled. Check for spelling mistakes and search again.
- Try leaving the e-mail field blank. The person may be listed with a different e-mail address.

Widen Your Search

- To widen the search, select “Starts with” and try using only the first four letters of the last name.
- If the last name is common, include information in the First Name and/or e-mail field to improve chances of a match.
- If the last name contains a space (e.g. La Rosa), try it without the space.
- If the last name is hyphenated (e.g. Covey-Jones), try using one of the names, without the hyphen.

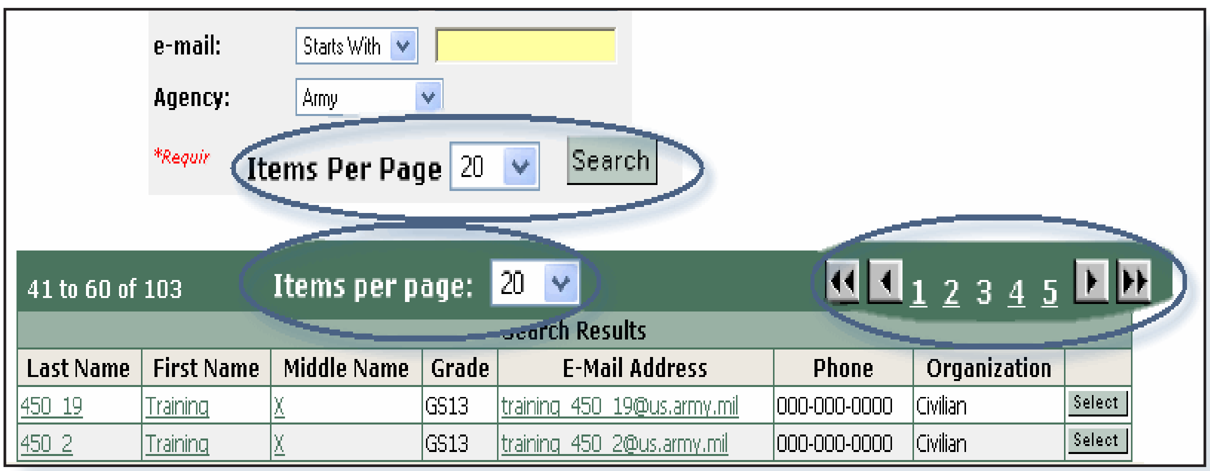
Narrow your search

If too many records are returned, try to narrow your search by adding more search terms, such as first name, or middle initial.

- Fill in multiple fields to make your search highly specific
- For example, selecting a specific agency will limit your search within that particular agency.

Navigating Search Results

You can navigate through multiple pages of results using the Navigation links at the top of each search match table.



You can use the Items Per Page, click the page number(s) or use the Begin, Previous, Next or Last links to browse through the results one page at a time.

Run a new search from the Results Page

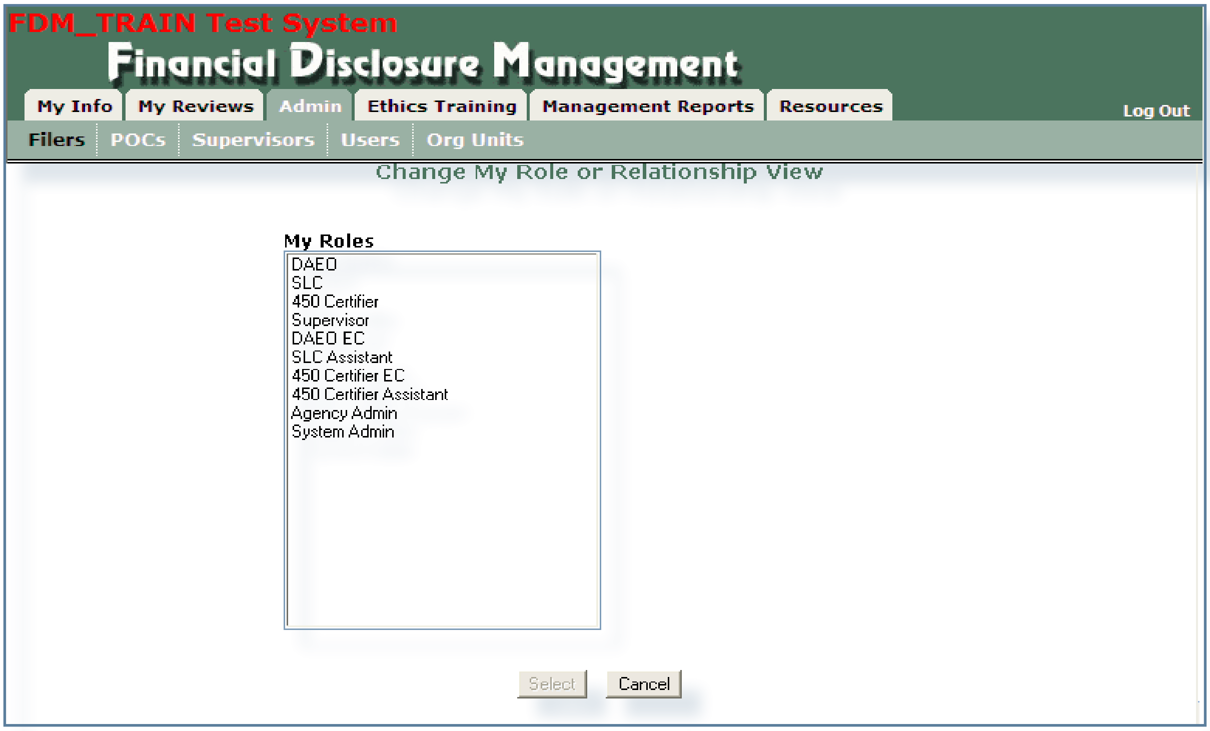
By using the search box at the top of the results page, you can perform a new search.

Changing Your Role in FDM

If you hold more than one role in FDM, you can change your role by clicking on the **Change** button in the Role field. The FDM functionality that is available to you may vary depending upon the selected role.

1. On an FDM page, click **Change** in the Role section. The Change My Role or Relationship View page is displayed.

2. Highlight the appropriate Role and click **Select.**

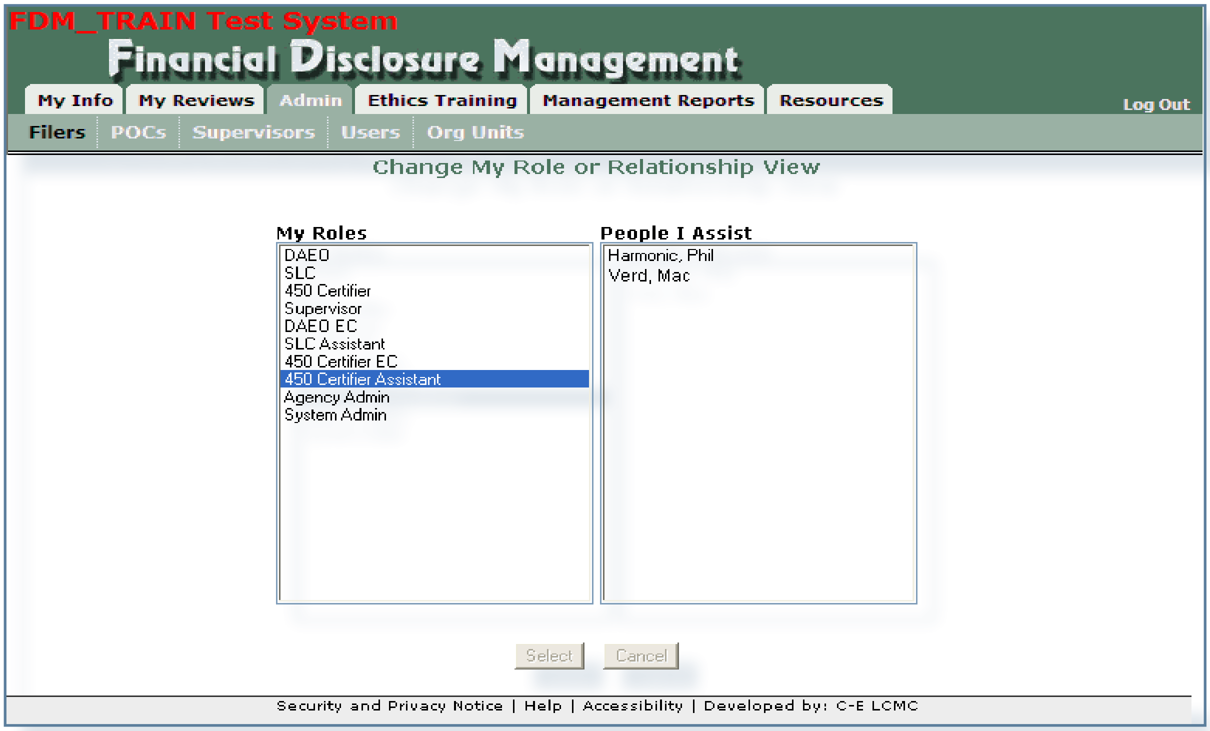


Assistants

If you hold any assistant roles, when selected, the names of the people you assist display in a second column. Select the name of the person you are assisting.

1. Highlight the appropriate role and then select the name of the person you are assisting.

2. When complete, click **Select**.



All FDM roles except Filers and Filer assistants can maintain FDM users and Org Units. The following pages will describe how to set up and manage Org Units and other FDM roles.

FDM Admins have an additional tab at the top of their FDM page for Admin tasks. Clicking on the Admin tab displays the main Admin page, Org Units.

Managing Org Units

Org Units allow you to group Filers into separate Org Units or departments by reviewing Supervisor. Agencies that do not use Supervisory review, assign a paralegal or legal clerk in the Supervisor role to perform a technical screening for completeness.

In the paper filing process, an ethics counselor or administrative assistant routinely groups Filers into organizations or departments based on their need to file a disclosure report. The Org Units tool simply allows you to do this process online in FDM, eliminating the need to have a paper-tracking system to manage your Filers.

Org Units are simply an electronic version of your agency organization structure. Determine your organizational structure by using an organization chart or wire diagram. Use this same structure as the model for your Org Unit structure in FDM.

The process for managing FDM Org Units includes the following tasks:

1. Log on to FDM.
2. Select **Admin** in FDM.
3. Click **Org Unit** from the sub-tabs.
4. Verify that the Org Unit does or does not exist.
5. Click **Add New Org Unit** or select an existing Org Unit to update, move or delete.

Who can add Org Units

POCs, 450 Certifiers, 450 Certifier Ethics Counselors, 450 Certifier Assistants, Senior Legal Counsels, Senior Legal Counsels Ethics Counselors, Senior Legal Counsel Assistant, DAEO, DAEO EC, can add, edit, and manage FDM Org Units.

Adding New Org Units

Additional Org Units are only necessary when you need different or separate groupings of Filers and review chain participants, i.e., at the beginning of the filing season you may have new Filers and/or reviewers you need to group together.

You can add a new Org Unit and assign roles on the Admin / Org Units page.

Note: A new org unit is not required when a successor Supervisor replaces an incumbent one. In that case, simply delete the departed Supervisor and assign the new one.

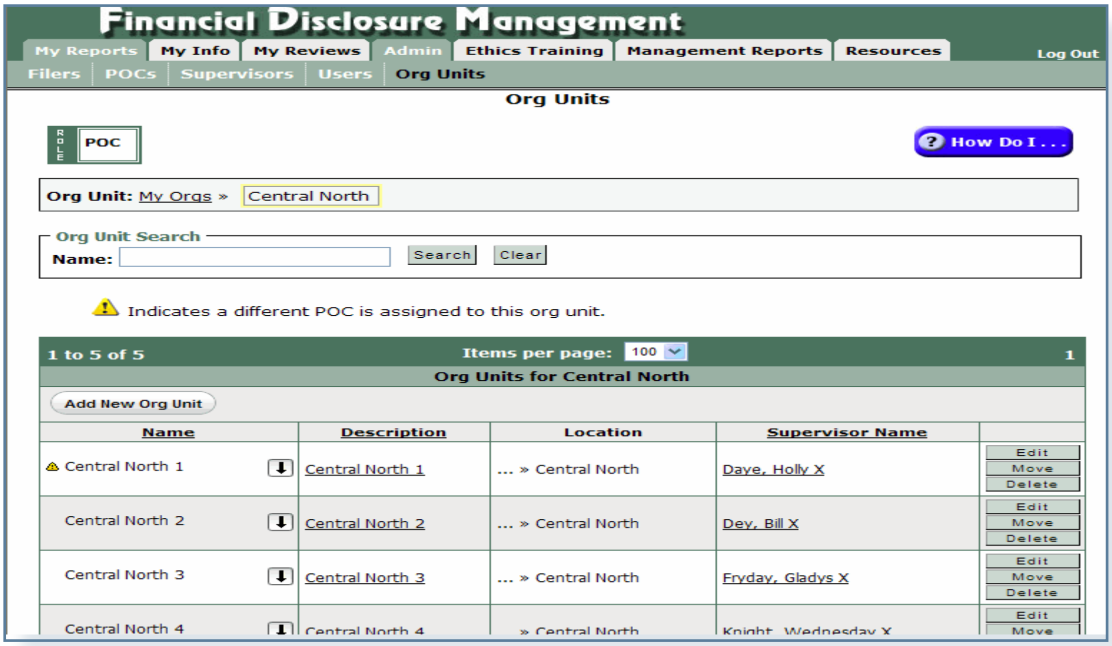
Note: Once you have created an Org Unit, follow the instructions under the Editing an Org Unit section of this guide to make changes to the Org Unit.

Note: A review chain participant can only update those Org Units within their Span of Control.

Important Information

- Each Org Unit inherits the review chain participants from the Agency Org Unit until a different legal reviewer is associated to the subordinate Org Unit.
- Only a System Administrator can add Org Units without restriction.

1. From any point within FDM, click **Admin**. The Org Units page is displayed. This page is used to add and maintain Org Units.



You can identify Org Units that have a different person with the same role as you for that Org Unit by the triangle icon. You may view and work with these Org Units and its members; however, a different FDM user has the ultimate responsibility for these Org Units.

You can "drill down" or view subordinate Org Units by clicking the down arrows beside any Org Unit Name.

Verifying if the Org Unit Exists

The initial view of the Org Units page displays your Org Unit in the Breadcrumb Trail and any subordinate Org Units are listed below.

Prior to adding a new Org Unit to FDM, first verify if this Org Unit already exists within FDM. Org Unit search, searches through the last selected Org Unit in the breadcrumb trail.

Note: You cannot add an Org Unit with the same name within the same level of the Org Unit hierarchy.

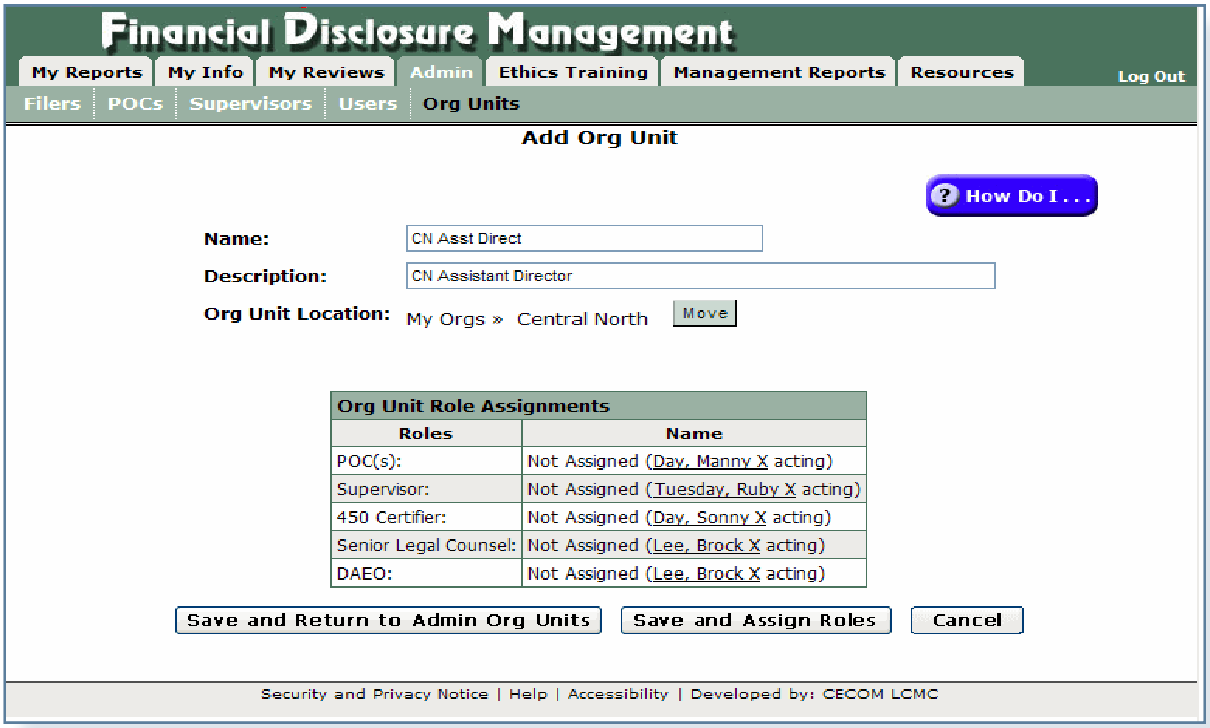
2. In the Name field, type the name of the Org Unit you wish to add and click **Search**. The system searches within your Current Org Unit and displays all matching results.

3. Review the list of matching results.

All new Org Units are added as subordinate Org Units to the currently selected Org Unit.

Add New Org Unit

4. Click **Add New Org Unit**. The Add Org Unit page is displayed.



5. Type the appropriate Name and Description for your Org Unit.

Field	Description
Org Unit Name	The Org Unit Name must be unique (no duplicates at the same level) within your Org Unit. The Org Unit Name is limited to 20 alphanumeric characters. Keep the Org Unit name short and specific, e.g. Use an abbreviation of the organization name to which the Filers and reviewers belong. The Org Unit name should accurately reflect the Org Unit of Filers you supervise. The structure of your Org Units in FDM should mirror the hierarchy of your organization. FDM does not prohibit you from naming Org Units whatever you like, however, it is recommended that you following a standardized Org Unit naming convention. For example, the Army office symbols.
Org Unit Description	Use the Description field to describe the Org Unit further so you can easily distinguish the Org Unit from others that may have a similar name. For example, you could type ASD as the Org Unit's name and Application Support Division (SEC/ITED) as the Org Unit Description. The Org Unit Description is limited to 100 alphanumeric characters

Move	Click Move if you wish to place the new Org Unit under a different Org Unit.
Agency Org Units	Only System Administrators can create Agency Org Units. The creation of an Agency Org Units constitutes a new Org Unit hierarchy.

6. When complete, click **Save and Return to Admin Org Units** if you do not need to make any other changes to your newly added org unit. Click **Save and Assign Roles** to assign specific org unit members in place of the acting org unit members.

Duplicate Org Unit Name

A warning message will display if the new Org Unit name is a duplicate. Click **OK** and enter a different Org Unit Name.

Assigning Org Unit Roles

FDM automatically assigns reviewers and POCs from the superior org unit as the Acting Reviewer or POC until one is assigned. The acting member name displays and is shown as a vacancy.

FDM Role Authorizations

The table below lists the permission levels for adding new FDM users by FDM Role.

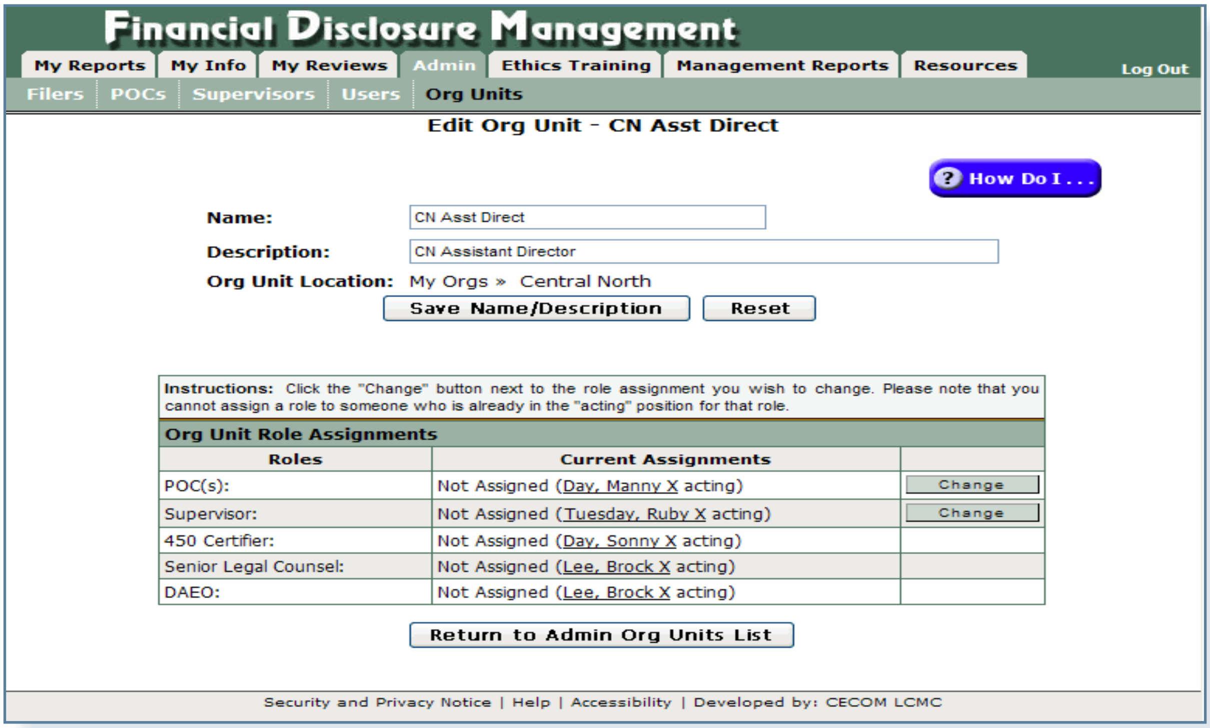
Admin Role	Authorizations
Agency Admin	Can add, move or delete an SLC, 450 Certifier, Supervisor, POC or Filer
DAEO	Can add, move or delete all roles including Agency Admins
SLC	Can add, move or delete a 450 Certifier, Supervisor, POC, or Filer
450 Certifier	Can add, move or delete a Supervisor, POC or Filer
Supervisor	Can add, move or delete a Supervisor, POC or Filer
POC	Can add, move or delete a Supervisor, POC or Filer

To add a new user to an FDM Org Unit:

1. Click **SAVE AND ASSIGN ROLES** to assign a specific org unit role.

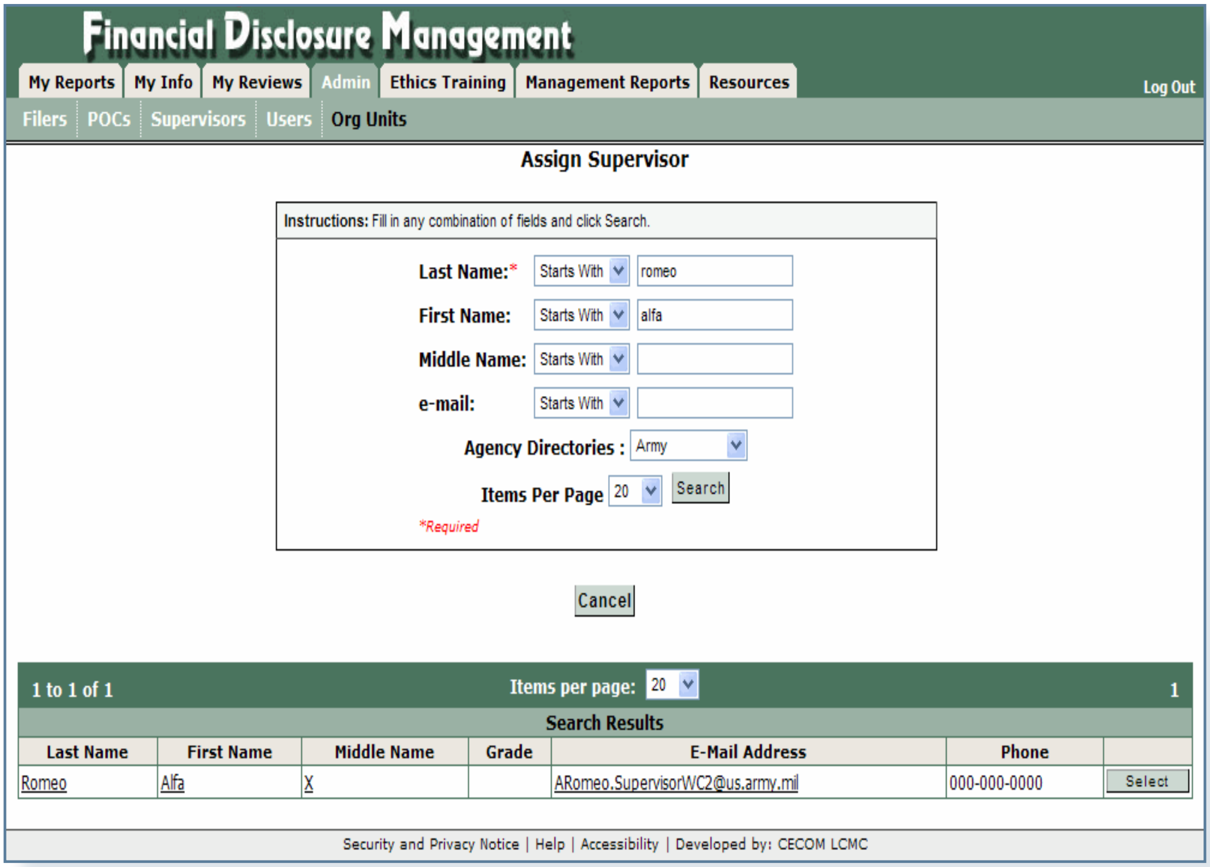
Note: When an Org Unit does not have an assigned Review Chain Participant or POC, FDM assigns the person in that role in the Org Unit that is the next level up in hierarchy and their name displays as acting.

2. Click **OK** to confirm adding this org unit.



3. Click the **CHANGE** button beside any of the listed org unit roles.

Note: Only those roles that you have permission to change will display a Change button.



- Starts With is the default selection when searching. Selecting Contains searches all names that include the entered characters. For faster results, type the full last name and partial first name of the filer.
- FDM Search, searches within the selected Agency's directory.
- If searching by e-mail, enter the user's agency specific e-mail address, e.g., suffix@abc.mil or suffix@abc.gov.

4. Type at least three letters of the Last, First and/or Middle name and click **Search.** .You can type the new org unit member's e-mail address in the e-mail starts with box for more specific search results. Any matching search results displays at the bottom of the screen.

Field	Description
Last Name	Enter at least three letters of the Filer's last name and select either Starts With or Contains.
First Name	Enter at least three letters of the Filer's first name and select either Starts With or Contains.
Middle Name	Enter the first initial of the Filer's middle name and select either Starts With or Contains.
e-mail	To focus your search to a specific Filer, enter an e-mail address.
Agency	Make a selection from the drop-down list to focus your search within a specific agency/organization.

5. Select the appropriate Agency Directory from the drop-down list and then click **SEARCH.**

6. Click **SELECT** beside the name of the person you want to add.

- Agency defaults to Army.

Note: If more than one name is listed, be sure to check the e-mail address to ensure you are selecting the correct person.

Add [Role] Warning

If the selected person holds that role in another organization, the Add [Role] – Warning screen displays.

7. Confirm that you wish to add the person to that role in the Org Unit by clicking on the **Yes** checkbox, then click **Confirm**. The Add Org Unit page is displayed.
8. If the person does not hold the selected role in another organization, after clicking on **Select**, the Add Org Unit page is displayed.

Add Role Confirmation

9. **CONFIRM** your selection. You return to the Edit Org Unit page and your newly added org unit member displays.

Note: If you want to change another role, depending on your permissions, click on the ***Change*** button for that role and repeat the above process.

10. Click **RETURN TO ADMIN ORG UNITS LIST**.

Editing an Existing FDM Org Unit

Org Units can be updated anytime in FDM. Most often, Org Units should be updated when your Agency goes through a transformation or reorganization.

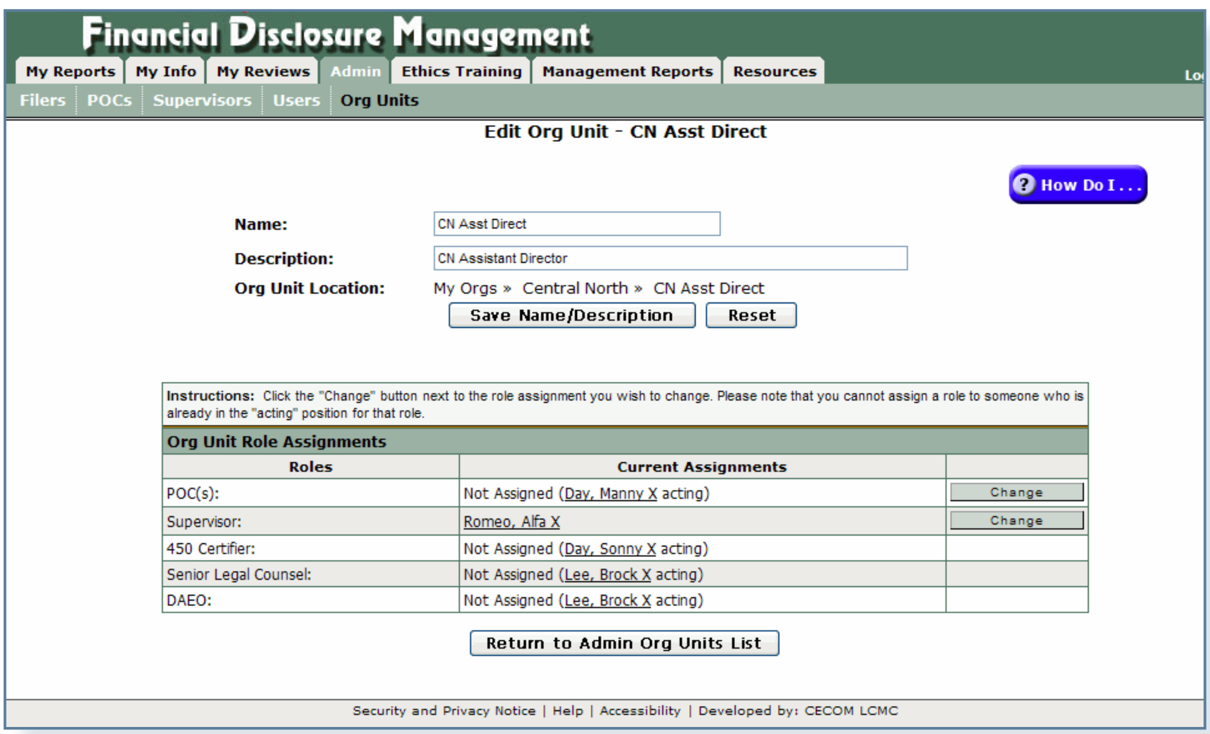
In the following sections, you will learn how to change an Org Unit's name, replace roles, relocate an Org Unit and Delete an Org Unit when such a transformation occurs.

Important Information

- Any changes made to an existing Org Unit affects the users associated to that Org Unit and any Org Units under that Org Unit.
- You can only edit those Org Units that are subordinate or children to the selected Org Unit.
- You cannot have two Org Units with the same name at the same Org Unit level.
- An Org Unit's information and location can be updated as needed.

Note: For instructions about moving an Org Unit, see the Changing an Org Unit's Location section in this guide.

1. On the Org Units page, click **Edit** beside the Org Unit you wish to update. The Edit Org Unit page is displayed.



1. If necessary, revise the Org Unit's Name and Description. When complete, click **Save Name/Description**.

Duplicate Org Unit Name

A warning message will display if the new Org Unit name is a duplicate. Click **OK** and enter a different Org Unit Name.

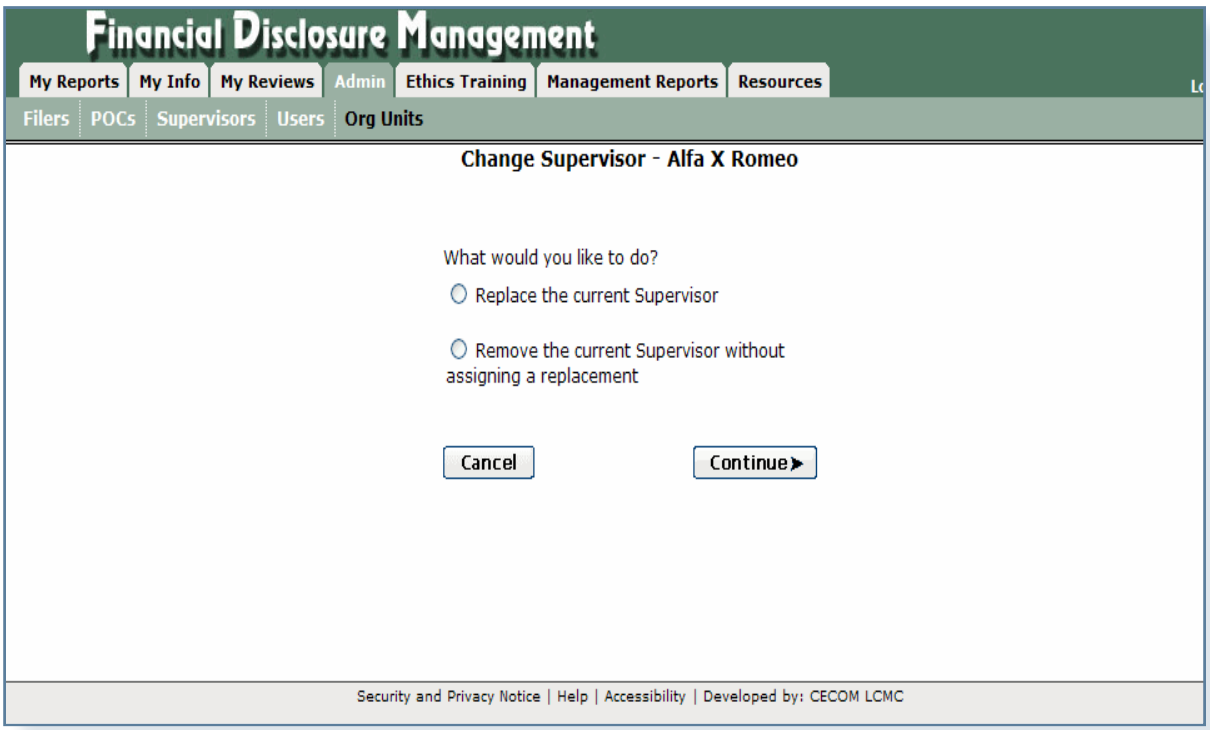
Replacing Org Role Assignments

When editing an org unit you can also replace or remove the currently assigned org unit role.

FDM automatically assigns the org unit role from the superior Org Unit as the acting org unit role until a different org unit role is assigned.

If the person is associated to all of the subordinate org units, there is no need to assign that person to each subordinate org unit. In fact, you may not need the subordinate Org Unit in that case.

2. Click **CHANGE** beside the org unit role you wish to change.



3. Select **REPLACE CURRENT ORG UNIT ROLE** and then click **CONTINUE**.

Note: You can add additional POCs to assist with the administration of this org unit.

- Starts With is the default selection when searching. Selecting Contains searches all names that include the entered characters. For faster results, type the full last name and partial first name of the filer.
- FDM Search, searches within the selected Agency's directory.
- If searching by e-mail, enter the user's agency specific e-mail address, e.g., suffix@abc.mil or suffix@abc.gov.

4. Type at least three letters of the Last, First and/or Middle name and click **Search.** .You can type the new org unit member's e-mail address in the e-mail starts with box for more specific search results. Any matching search results displays at the bottom of the screen.

5. Click **SELECT** beside the name of the person you want to add.

6. Click **SAVE** and then click **RETURN TO ADMIN ORG UNITS LIST**.

User Already has Selected Role with another Org Unit Add [Role] Warning

7. Select the **YES** to allow this person to hold the same role for multiple Org Units and then click **CONFIRM.** Otherwise, click **CANCEL.**

8. **CONFIRM** your changes. You return to the Edit Org Unit page and the newly assigned user appears in the role you changed.

Deleting an Org Unit Role in FDM

Deleting an org unit role simply removes their association to a selected Org Unit. Once deleted, the screen will show a "vacancy" for that Org Unit and the next level up role in the "acting" position until someone else is assigned to that role.

1. On the Org Units page, click EDIT beside the appropriate Org Unit

2. Click **CHANGE** beside the role you wish to delete.

3. Select **REMOVE THE CURRENT (ROLE) WITHOUT ASSIGNING A REPLACEMENT** and then click **CONTINUE**.

4. Click **OK**. The user with the same role at the superior Org Unit now becomes the acting FDM role for that Org Unit.

Changing an Org Unit's Location

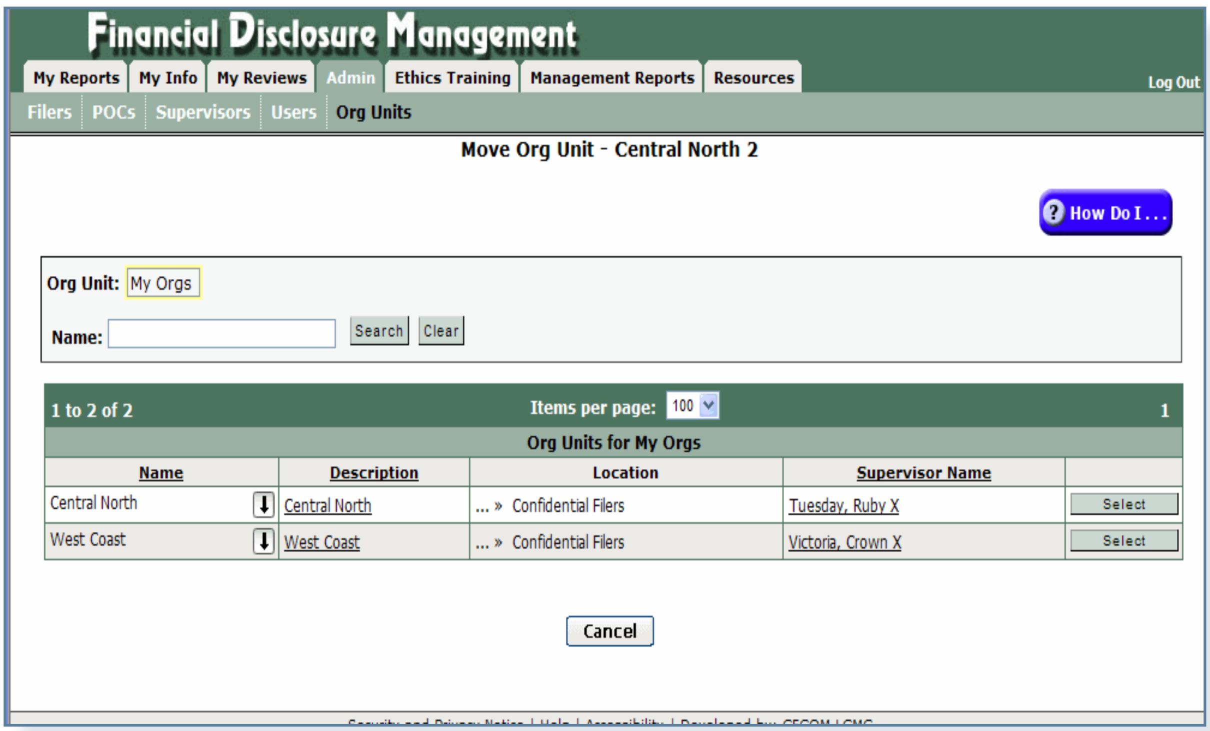
You can move an Org Unit to align the Filers and review chain participants appropriately after a transformation. Click **MOVE** to move the org unit and all filers in that org unit simultaneously to a new location in FDM. Selected user roles may only move org units to another FDM location within their authority. Contact the FDM Help Desk if the desired new org unit location is not available.

Note: Keep in mind that moving an Org Unit may change the review chain of the Filers located in that Org Unit.

To move an Org Unit under a different Org Unit:

1. On the Org Units page, click **Move** beside the appropriate Org Unit. The Move Org Unit page is displayed.

Note: You may need to drill down or click the down arrow beside the appropriate Org Unit.



2. Click **Select** beside the Org Unit which will be the new superior Org Unit.

3. Click **OK** to confirm this move.

Reviewer Relationships Already Exist

At times, both Org Units, the one you are moving and the Org Unit you are moving to, may have existing review chain participant associations. Choose from the list of legal reviewers that is displayed in FDM. Look closely at the options.

3. Select **No** to use the review chain participants from the new main Org Unit or select **Yes**, to keep the subordinate Org Unit's existing review chain associations.

4. Click **Confirm** when complete.

Deleting an Org Unit

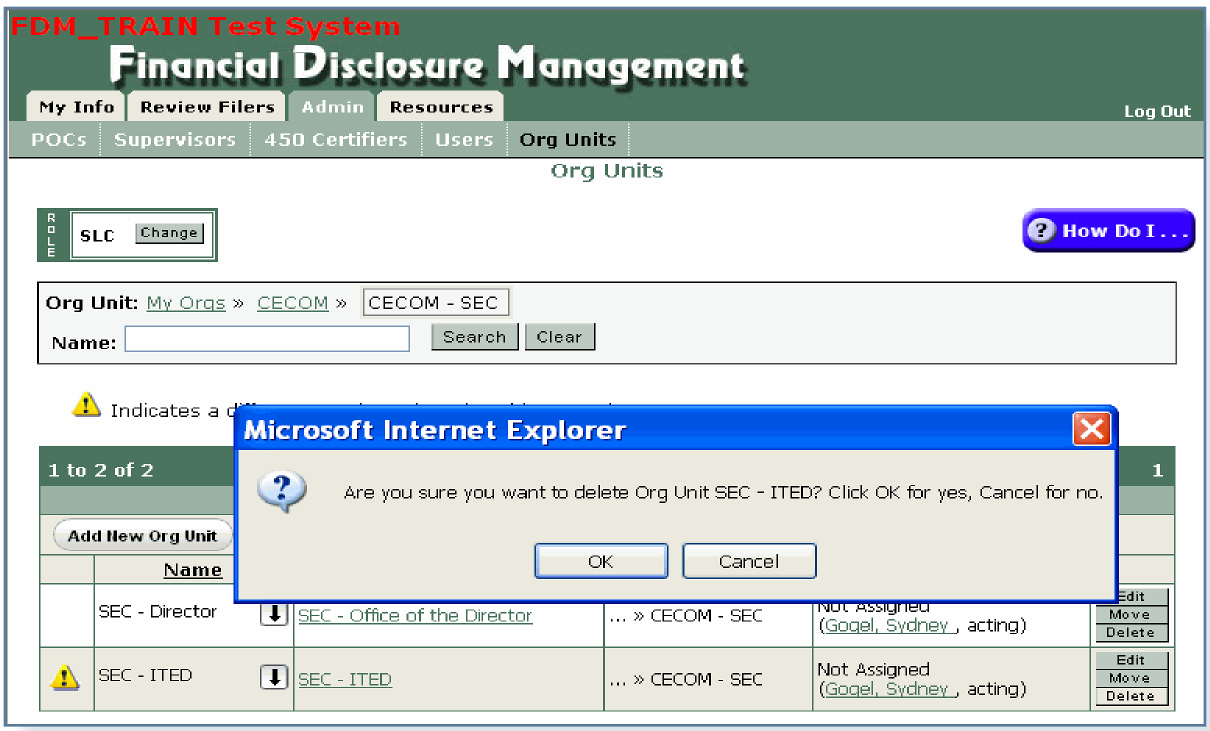
Org Units are usually deleted in FDM when departments become consolidated after a transformation.

Important Information

Before you can delete an Org Unit, move any associated Filers to another Org Unit or remove the Filer's role if they are no longer Filers. See the My Filers card for further information. If the Org Unit has subordinate Org Units, move or delete the sub-Org Units.

1. To check if any Filers are located in this Org Unit, click on the description link and then click **SHOW FILERS.**

2. Close the Org Unit Profile and then on the Org Units page, click **DELETE** beside the Org Unit that no longer exists. A warning message is displayed.



1. Review the warning message and click **Yes** to delete the Org Unit from FDM.

Managing Filers

An FDM Admin user must register all FDM Filers. All FDM users, except Filers and Filer Assistants can manage their listing of Filers through either My Reviews | Filers or Admin | Filers. On the My Filers page your can:

- Assign Filers to the appropriate Org Unit
- Verify Filer information
- Send notifications to multiple Filers at the same time
- Assign required reports to file
- Remove multiple Filers at the same time from your list.

Who can Add OGE 450 Filers?

Supervisors, 450 Certifiers, 450 Certifier Assts. POCs, and Agency Admins can add and manage OGE 450 Filers.

Who can Add OGE 278 Filers?

DAEOs, DAEO ECs, SLCs, SLC ECs, SLC Assts., and Agency Admins can add OGE 278 Filers.

Locating My Filers in FDM

To locate the Filers you are responsible for in FDM:

1. From any point within FDM, click the **Admin** tab.
2. Click **Filers** from the sub-tabs.

3. If you hold more than one role, ensure you have the appropriate role selected by clicking on **Change** in the Role field.
4. Select an Org Unit from the **Next Level Down** drop-down list. The Filers for that Org Unit display.
5. Select appropriate **View** and **Filer Role**.

View	Description
Show Filers for (Org Unit)	Select this to view the Filers in the selected Org Unit.
Show My Filers	Select this view to see a listing of all of the Filers you are responsible for administering in FDM.
Include Filer for Org Units assigned to other Supervisors	Allows you to view and manage all Filers listed on the page. For example, a POC can manage Filers within their own Org Units and any subordinate Org Units even if the subordinate Org Unit has a different POC assigned to it.

If you are searching on a common name, you may get back 100 results. If this happens, you can look at the Org Unit column or click the Filer's name to determine if he/she is the appropriate Filer possibly by the telephone number or e-mail address.

Verifying if the Filer Exists in FDM

Prior to adding a new Filer, first verify if this Filer already exists within FDM by searching for that Filer through the Admin | User function.

If you have a large list of Filers, you can also search for a specific Filer by name.

1. Enter the **Last Name** and **First Name** in the appropriate fields under the Filer Search section, and then click **Search**. The search results are displayed at the bottom of the page.

Adding New Filers

At the beginning of each filing season, you typically update your Filer list by adding new Filers. An Org Unit must exist in FDM prior to adding a new Filer. In FDM, group Filers into separate Org Units by Supervisor. Agencies that do not use Supervisory review assign a paralegal or legal clerk in the Supervisor role to perform a technical screening for completeness. See the **Managing Org Units** card for further information.

1. On the Filers page, select appropriate **View** and **Filer Role**.
2. Click **Add OGE 450 Filers** or **Add OGE 278 Filers**. The Search & Select a New Filer page is displayed.

Search For and Select a New FDM Filer

3. Type at least three letters of the Last, First and/or Middle name and click **Search.** .You can type the new Filer's e-mail address in the e-mail starts with box for more specific search results. Any matching search results displays at the bottom of the screen.

- Starts With is the default selection when searching. Selecting Contains searches all names that include the entered characters. For faster results, type the full last name and partial first name of the filer.
- FDM Search, searches within the selected Agency's directory.
- If searching by e-mail, enter the user's agency specific e-mail address, e.g., suffix@abc.mil or suffix@abc.gov.

Field	Description
e-mail	To focus your search to a specific Filer, enter an e-mail address.
Last Name	Enter at least three letters of the Filer's last name and select either Starts With or Contains.
First Name	Enter at least three letters of the Filer's first name and select either Starts With or Contains.
Middle Name	Enter the first initial of the Filer's middle name and select either Starts With or Contains.
Agency	Make a selection from the drop-down list to focus your search within a specific agency/organization.

4. Select the appropriate Agency Directory from the drop-down list and then click **SEARCH.**

5. Click **SELECT** beside the name of the person you want to add. The Confirm Add Filer page is displayed confirming your selection.

6. Click **Confirm**. The Filer Added Confirmation page is displayed.

- Agency defaults to Army.

Once the Filer is added you can now assign a report for them to file in FDM.

Filer Belongs to Different Org Unit

If you are trying to add someone who is already a Filer in another Org Unit in FDM, you will see the Move Filer page. When this occurs, if the Filer is in an Org Unit that is assigned to you, you will have the option to select specific reports to move with the Filer to the new Org Unit if necessary.

Adding a Filer Assistant (OGE 278 Filers)

If you are a DAEO or a DAEO EC, you can add Filer Asst from the View Filer page for OGE 278 Filers.

1. Click **Add OGE 278 Filer Assistant**. The Add a OGE 278 Filer Assistant page is displayed.
2. Enter the **Last** and **First Names** of the person to be added as a Filer Assistant in the appropriate fields, and then click **Search**. The search results are displayed at the bottom of the page.
3. Click **Select** beside the person's name. A confirmation page is displayed confirming that you wish to add that person as a Filer's Assistant.
4. Click **Confirm**. You return to the View Filer page.
5. Click **Save.** You return to the My Filers page and the filer is displayed under the org unit selected.

Removing a Filer Assistant

Only Filers, DAEOs and DAEO ECs can remove Filer Assistants in FDM. When removing an assistant in FDM, the assistant is only removed as your assistant in FDM. They are not removed from the system.

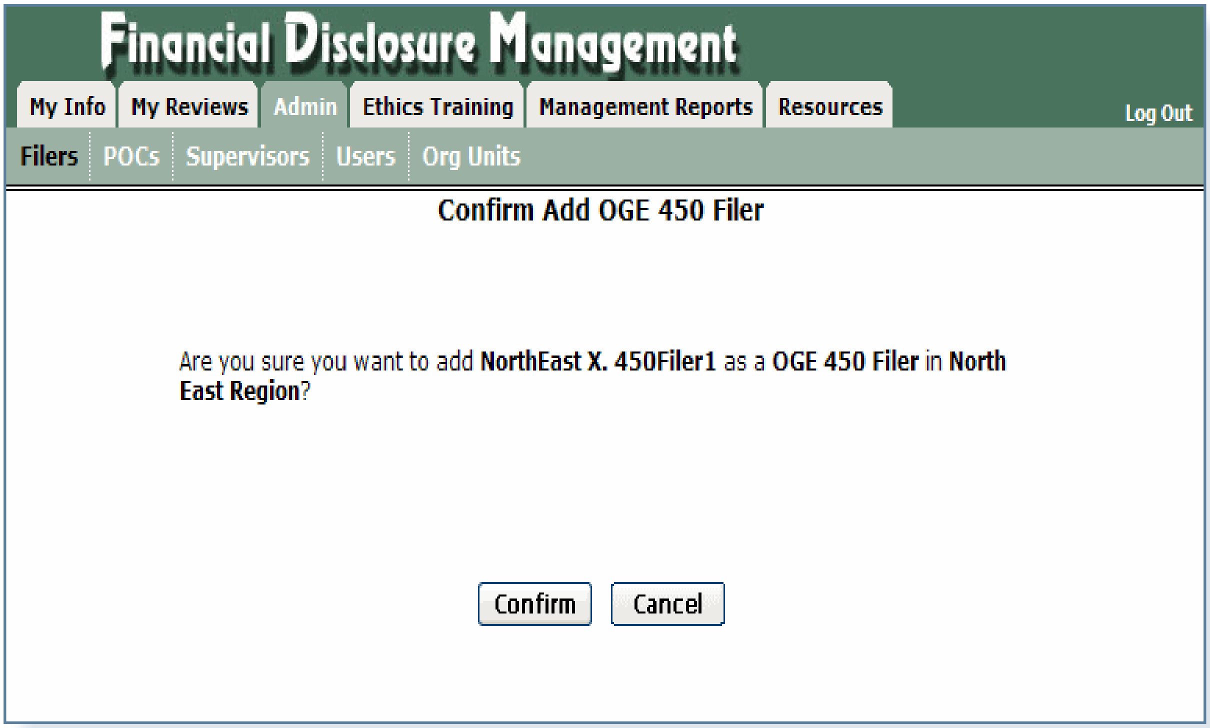
If you are a DAEO or a DAEO EC, you can remove Filer Asst from the View Filer page for OGE 278 Filers.

1. Go to **My Info | My Assistants.**
2. On the My Assistants page, click **Remove** beside the appropriate Assistant's name. A message asking you to confirm the assistant's removal from your list appears.
3. Click **OK** to remove the assistant's name from your list. The Assistant's name is removed from your Assistant's list.

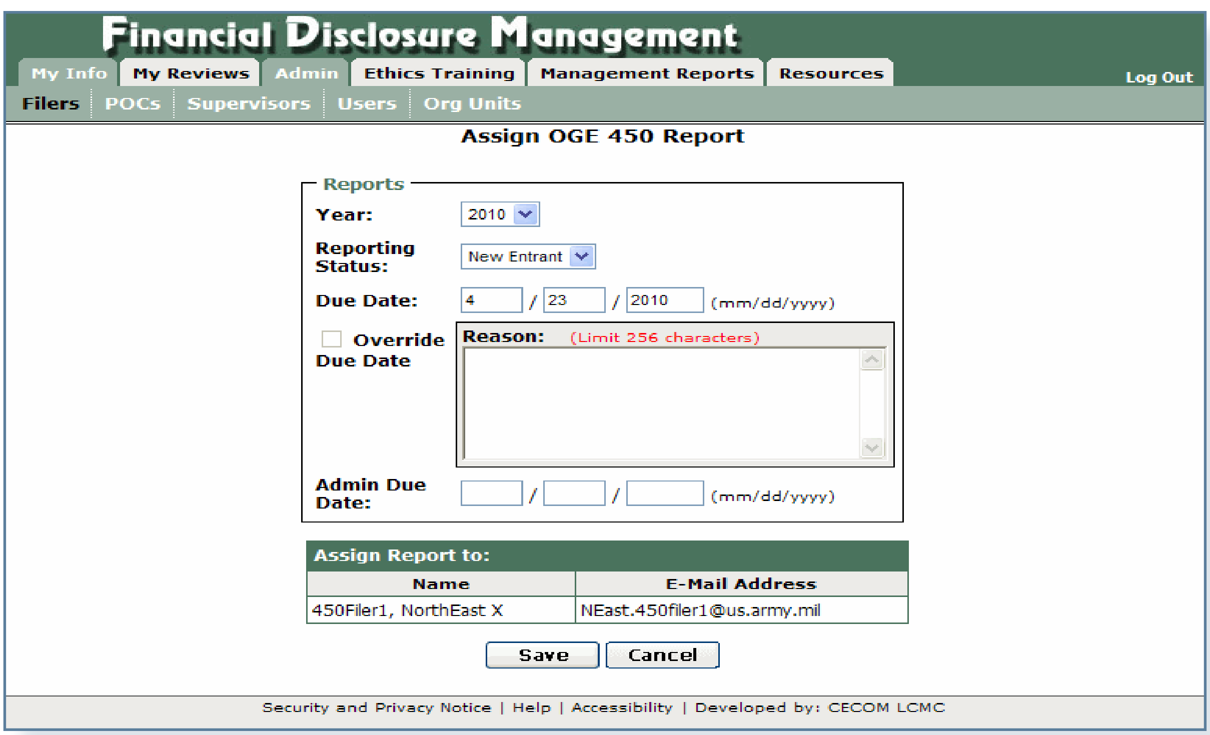
The removed Assistant receives an e-mail message indicating that you removed them as your assistant in FDM.

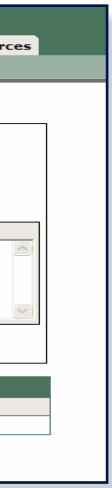
Assigning a Report to File

Each filing season, once you have updated your Filer list, you can then indicate to your Filers the type of form they are required to file, e.g., 450 Annual or 278 incumbent.



1. On the Filer Added Confirmation page, click **Assign Filer Report**. The Assign Report page is displayed.





When assigning a New Entrant activity, you will need to know the Filer's start date or the date the Filer was informed they should file a report. The Due Date defaults to 30 days from the current date for New Entrant reports. This date may change when the Filer enters the Appointment Date. The New Entrant Report will then be due 30 days

2. Select the **Year** from the drop-down menu.

3. Depending upon the Reporting Status selected, the Due Date calculates as follows:

- **OGE 450 Annual and OGE 278 Incumbent** – The Due Date defaults to the statutory Due Date.
- **OGE 450 New Entrant, OGE 278 New Entrant and OGE 278 Termination** – The Due Date automatically calculates to 30 days from the date of assignment.
- **OGE 278 Incumbent/Termination Report** – This report would be selected if a Filer anticipates leaving a covered position on or within 90 days after the May 15 annual deadline. An extension needs to be granted in order for the Due Date to reflect any date after May 15.

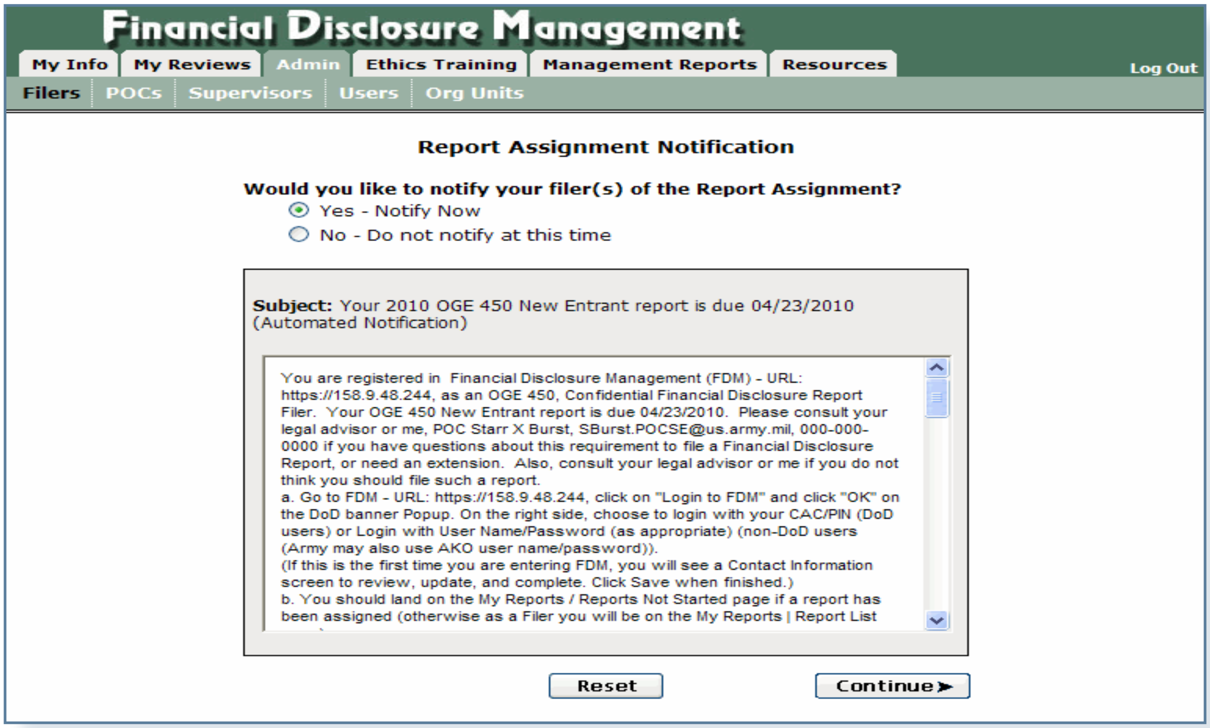
Field	Description
Due Date	The statutory due date for filing the disclosure report. This date cannot be changed. **Note:** The Admin Due Date cannot be later than the due date unless Override Due Date is checked. However, the **Admin Due Date** does not apply when an **Extension** is granted because the **Extension** is on the **Due Date**.
Admin Due Date	Can be adjusted as needed by the FDM user assigning the report.
Override Due Date	Indicates that a Certifying Official or their EC overrode the due date, typically with new entrant Filers. Enter the reason for the override in the Reason field and the box is automatically checked. The Override Due date is generally used with new entrant Filers, i.e., when a Filer on your list is promoted or moved into a covered position and were not notified that they needed to file in FDM. If more than 30 days have past since their appointment date and they have filed outside of FDM, you can override their required activity due date.

4. Click **Save**. A confirmation message is displayed confirming that you wish to assign the required activity to the selected Filer(s).

5. Click **OK**. The Report Assignment Notification page is displayed.

Notifying a Filer

The Report Assignment Notification page is used to notify a Filer that he/she has been registered in FDM and lists the type of report that should be filed along with the due date and the criteria required to file the report.



6. Select **Yes** to notify the Filer now or select No to notify the Filer later.

7. Click **Continue.** You return to the My Filers page and the list shows a report has been assigned to the Filer.

Editing a Report Due Date

There may be times when a Filer on your list is promoted or moved into a covered position and was not notified that they needed to file in FDM. As well, more than 30 days may have past since their appointment date. In FDM, you can still assign them a report to file and then adjust or override the due date.

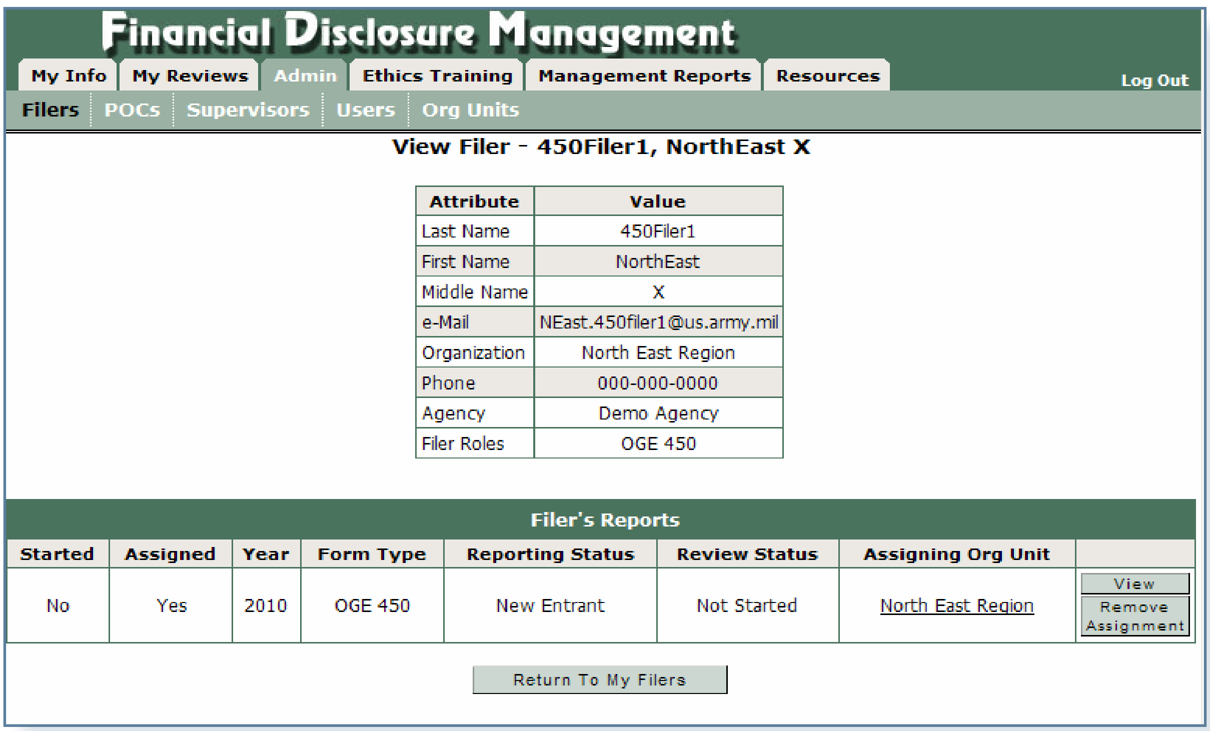
Note: Overriding a required activity primarily occurs with new entrants.

Note: Only DAEOs, DAEO ECs, SLCs, SLC EC, SLC Assts, 450 Certifiers, 450 Certifiers ECs and 450 Certifier Assts can override the Due Date for OGE 450 Report Assignments.

Note: Only DAEOs and DAEOS ECs can override the Due Date for OGE 278 Report Assignments.

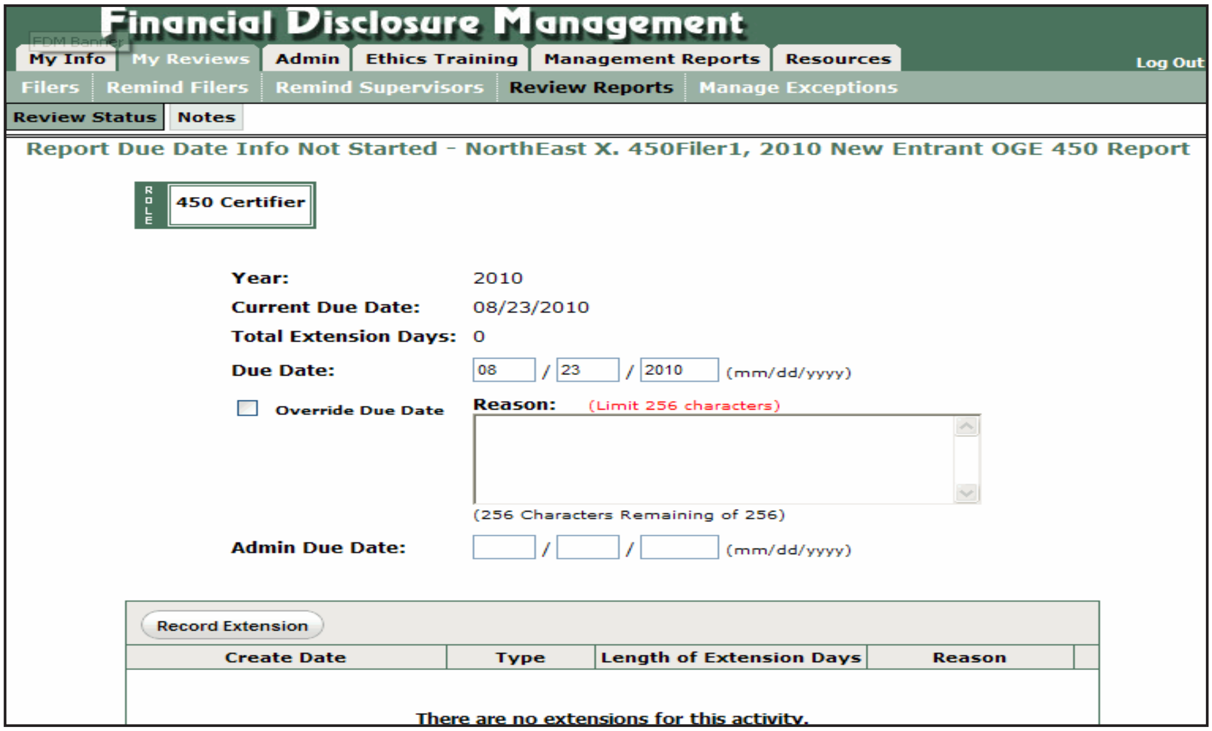
To edit the Due Date of an already assigned report:

1. Locate the name of the Filer on the list and then click **View** beside name.



2. Click **View**. The Review Status page is displayed.

3. Click **View/Edit Due Date & Extensions**. The Report Due Date Info page is displayed.



4. Make the necessary changes, then click **Save**.

Removing a Filing Assignment

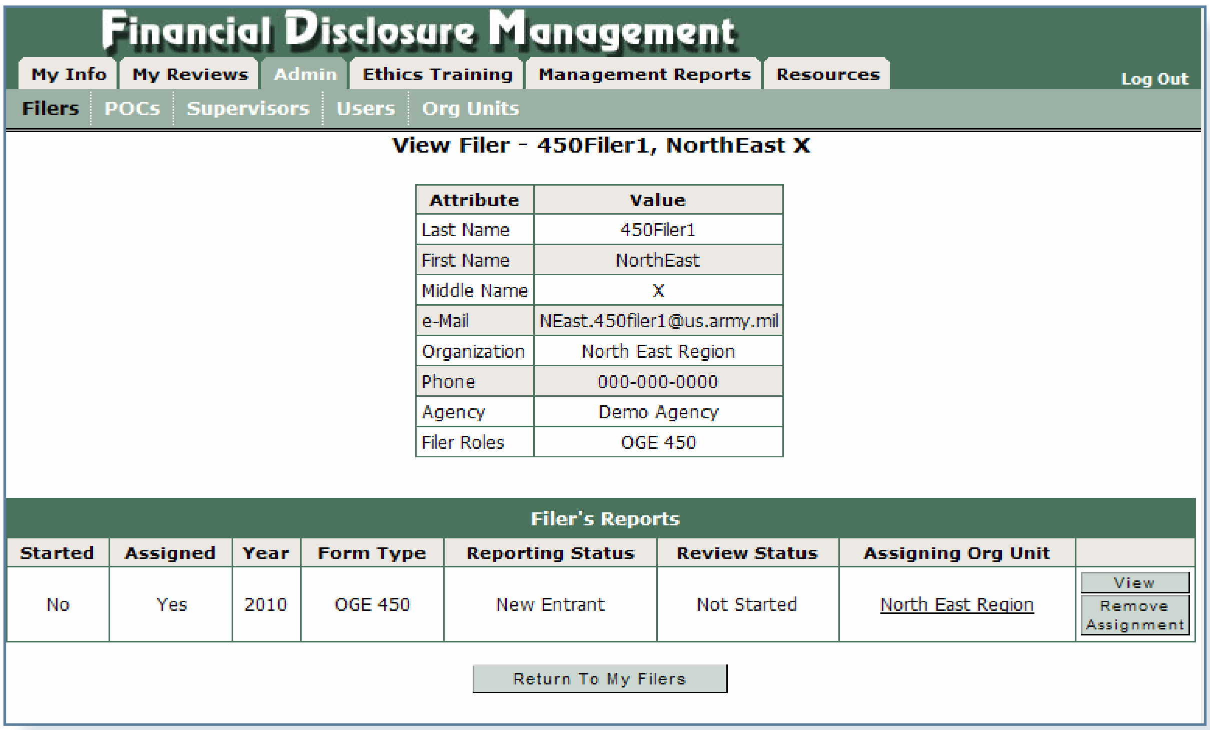
There may be times when, a few of your Filers are no longer required to file. In FDM, you can remove the filing assignment for your Filers.

Note: Only DAEOs, DAEO ECs, SLCs, SLC EC, SLC Assts, 450 Certifiers, 450 Certifiers ECs, 450 Certifier Assts, POCs, and Supervisors can remove OGE 450 filing assignments.

Note: Only DAEOs, DAEOS ECs, SLCs, SLC ECs, and SLC Assts can remove OGE 278 filing assignments.

To remove a filing assignment from a Filer:

1. Locate the name of the Filer on the list and then click **View** beside name.



2. Click **Remove Assignment**. A message displays confirming that you wish to remove the assignment from the Filer.

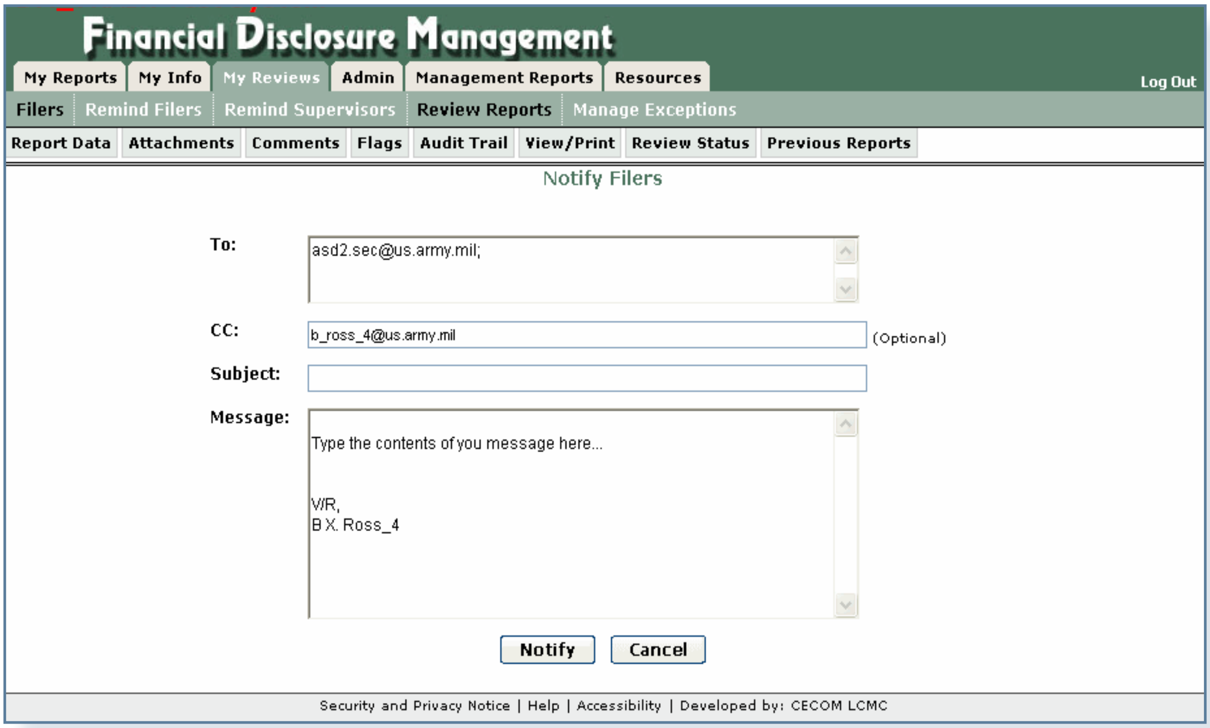
3. Click **OK**.

Notifying a Filer

When updating your Filer list, you may wish to notify some of your Filers of the changes you have made in FDM. To notify a Filer or group of Filers from FDM:

To notify a person that he/she has been assigned a required activity in FDM:

1. Select the checkbox beside the name(s) of the person you wish to notify and then click **Notify**. The Notify Filers page is displayed.



2. The e-mail address(es) of the person(s) selected display in the "**To**" field, along with a **cc**: to yourself.

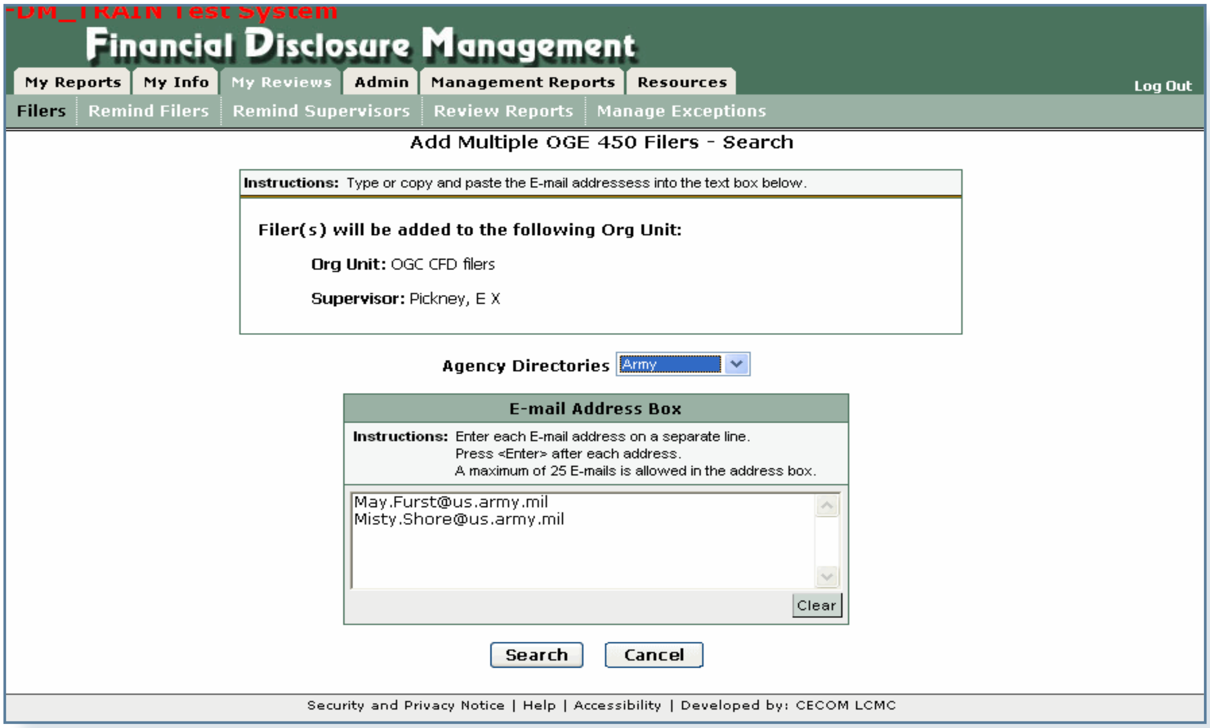
3. Enter the subject and the text of the message in the appropriate fields and then click **Notify**. You return to the Required Activity page and the selected person receives an e-mail notification that he/she has been assigned a required activity in FDM.

Adding Multiple OGE 450 Filers

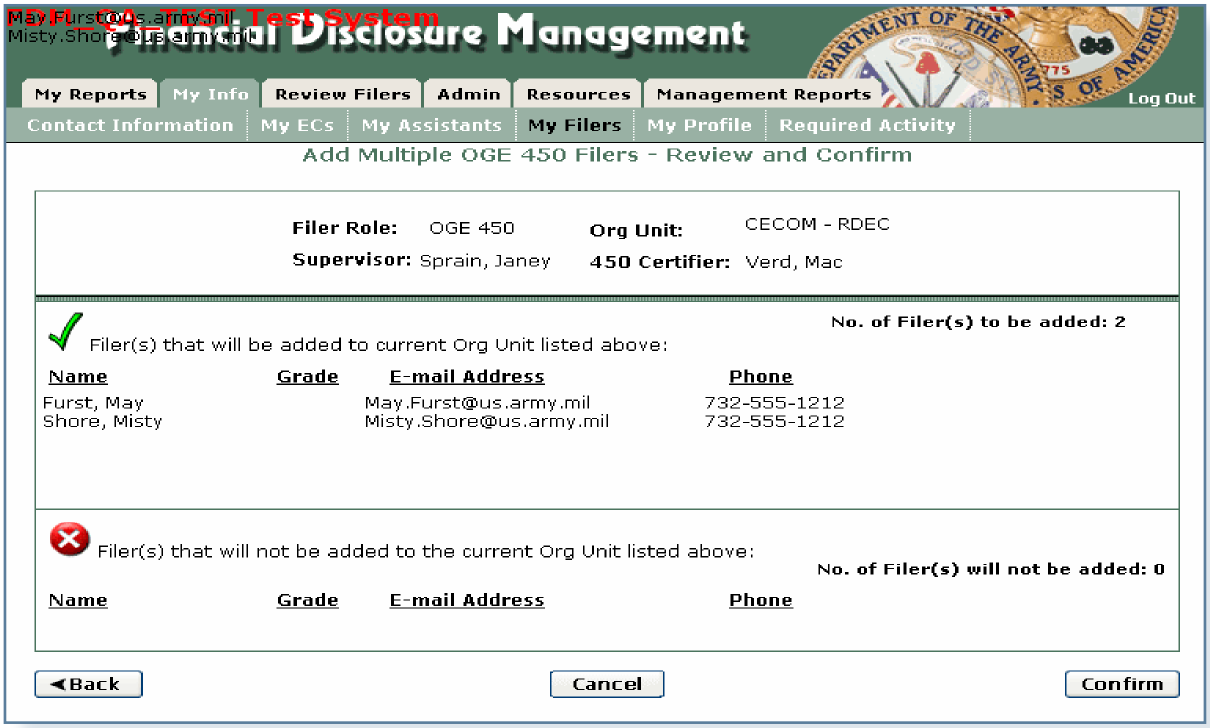
At times, you may need to add more than one OGE 450 Filer to a specific Org Unit. In FDM, you can add up to 25 OGE 450 Filers at the same time.

1. From any point within FDM, click the **My Reviews or Admin Tab**.
2. Click **Filers** from the sub-tabs.

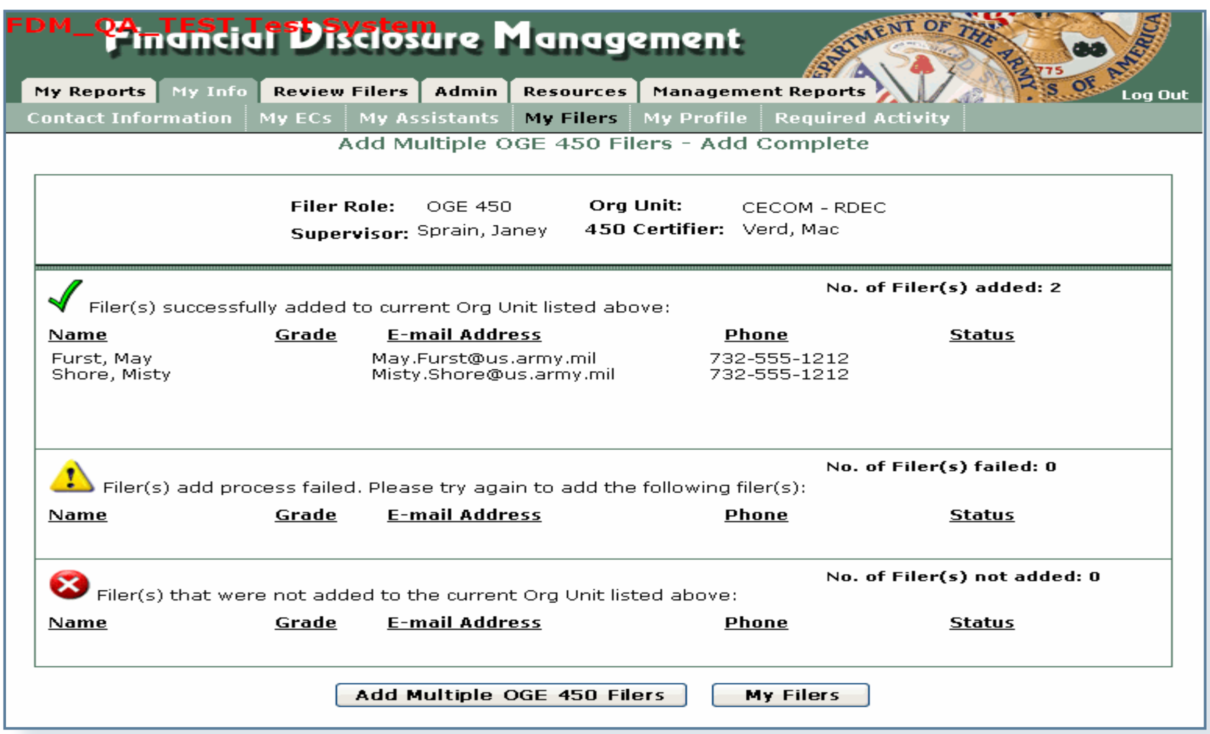
3. Select the Org Unit to which you wish to add this new user from the **Next Level Down** drop-down list. The Filers for that Org Unit display.
4. Select appropriate **Scope** and **OGE 450** as the **Filer Role**.
5. Click **Add Multiple OGE 450 Filers**. The Add Multiple OGE 450 Filers - Search page is displayed.



6. Type or copy and paste the e-mail addresses of the filers in the E-mail Address Box. When complete, click **Search**. The Add Multiple OGE 450 Filers - Review and Confirm page is displayed.



7. Review the listing. If Filers are listed in the “will not be added” area, click Cancel to locate their correct e-mail address. When complete, click **Confirm**. The Add Multiple OGE 450 Filers - Add Complete page is displayed.



8. When complete, click **My Filers.** To add more OGE 450 Filers, click **Add Multiple OGE 450 Filers.**

Removing Filers From Your My Filers List (Removing a Filer's Role)

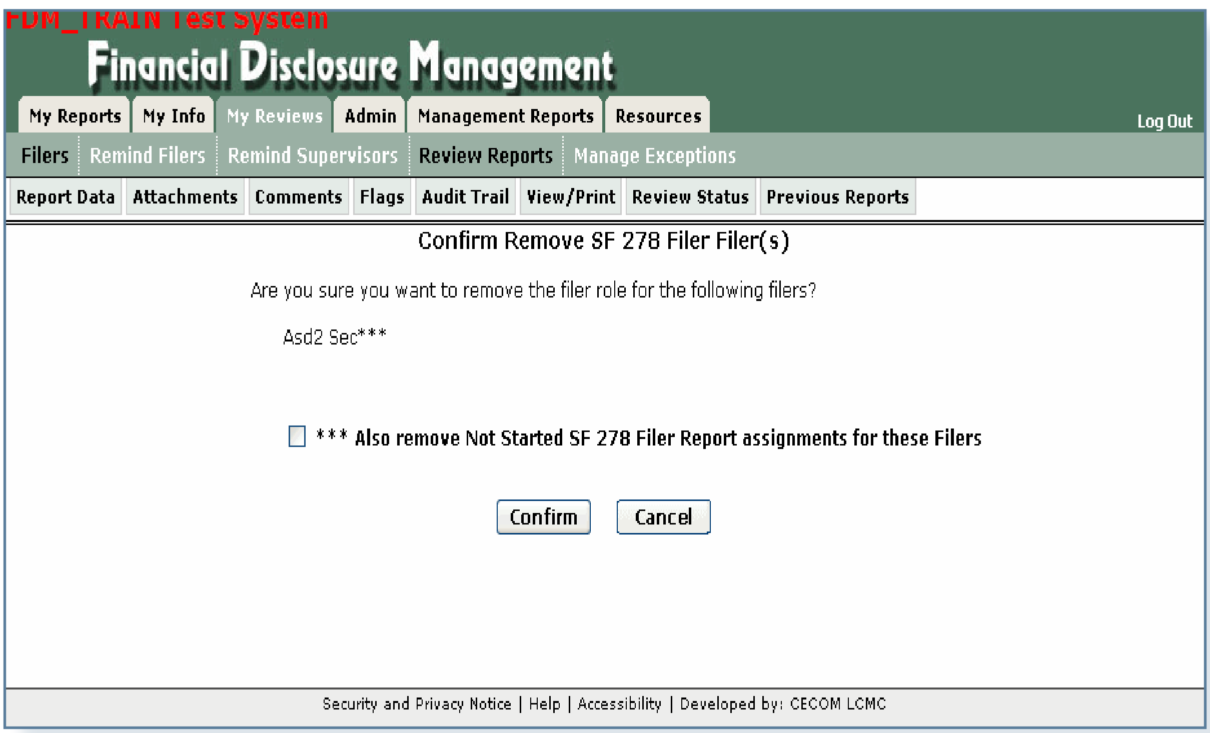
Deleting a Filer only removes his/her Filer role in FDM. Deleting does not permanently remove the Filer from FDM. In FDM, you can remove multiple Filers from an Org Unit at the same time.

Only one Filer role is removed at a time. If a Filer has both OGE 450 and OGE 278 roles, you must select each Filer type and then click Remove Filer Role.

1. On the **FILERS** tab, locate the Org Unit where the Filer(s) should be removed.
2. If you manage both OGE 450 and OGE 278 Filers, first select the appropriate Filer Type.

Note: If a Filer has both OGE 450 and OGE 278 roles, you must select each Filer type and then click Remove Filer Role.

3. Select the checkbox beside the name of the Filer you wish to remove, and then click **Remove Filer Role**. A page is displayed confirming that you wish to remove the Filer role for the selected filer.



4. If the Filer has an assigned report, select the checkbox to remove the report assignment and then click **Confirm**. The Filer is no longer on your list.

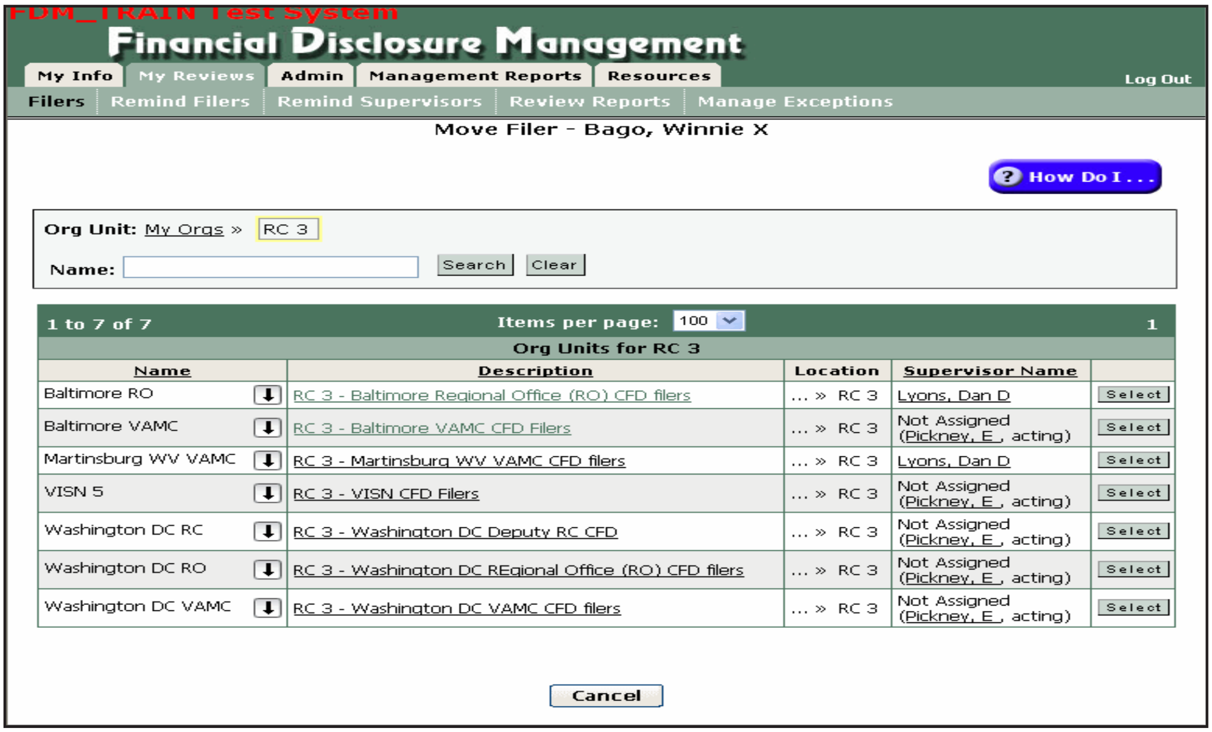
Note: Deleting a Filer's role does not delete any started reports (e.g., Draft, Under Review, Complete). Draft reports or others that are not required should be "Admin Closed" by the reviewing ethics official (e.g., 450 Certifier, SLC).

Moving Filer to Different Org Unit

When you are updating your Filer List, some of your Filers may have made lateral transfers and therefore need to be moved to different Org Units within FDM. You can only move a Filer to Org Units that are located in your organizational view.

To move a Filer to another Org Unit:

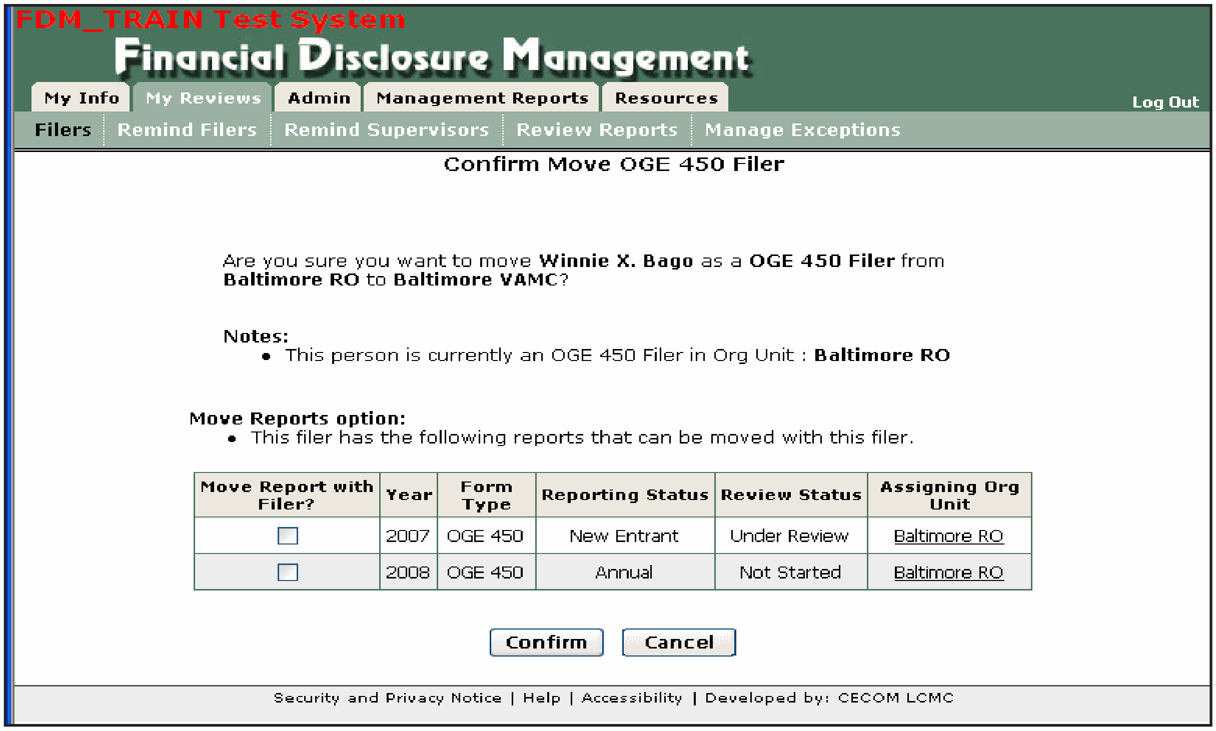
1. You can just Add the Filer to the new org unit or click the **Move** button beside the Filer who is now reporting to a different org unit. The Move Org Unit page is displayed.



2. “Drill down” or click the down arrow beside any Org Unit name to locate the appropriate Org Unit where the Filer is to be added.

Note: The Review chain of this Filer may change as a result of this move.

3. Click **Select** beside the Org Unit to which you are moving the Filer. The Confirm Move Filer page is displayed.



4. To move the report with the Filer leave the checkbox selected and click **Confirm.** The Filer and their selected reports are moved to the new Org Unit. If you want the report to stay with the review chain of the original Org Unit, deselect the checkbox.

Note: If the Filer has a disclosure report that is Under Review, you may want to notify the current Review Chain members as they may have already started their review process. To view the review chain members, click the Org Unit name link listed beside the Filer's name.

The purpose of a financial disclosure report is to assist employees and their agencies in avoiding conflicts between official duties and private interests and affiliations. The primary use of the information on the form is for review by Government officials of your agency, to identify potential conflicts of interest.

Filing Process Flow

The process for creating an OGE 450 includes the following tasks:

Your local POC or legal office can register you as a Filer in FDM.

Once a Filer has eSigned and submitted their report in FDM, the Filer's associated reviewer(s) may receive an e-mail containing a request to review a Filer's financial disclosure report in FDM.

Filing an OGE 450
◆ The Filer is registered in FDM.
◆ The Supervisor or POC identifies filers and assigns the task of filing an OGE 450.
◆ The Filer receives an e-mail notification with their filing task assignment.
◆ The Filer logs in to FDM and verifies their profile and review chain.
◆ Filer selects to add a financial disclosure report.
◆ Filer adds Report Data information.
◆ Filer reviews report flags and corrects any errors.
◆ Filer eSigns and submits the OGE 450 for review. Note: An e-mail notification is sent to the selected reviewers indicating that they can begin their review process.

Logging In

1. Log onto your computer, open a web browser, type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.

Website Security Certificate Message

Some users may receive the message. "There is a problem with this website's security certificate."

2. Click **"Continue to this website (not recommended)."**

3. Click **Login to FDM** on the left side of the FDM Home page.

CAC Login

4. Click the **Login** button under the Login Using your CAC section.

5. Select your certificates and then click **OK**. The Review Reports page will display for Reviewers.

Logging In With User Name

When you first log in to FDM, My Info page displays allowing you to review and update your contact information.

4. Select your appropriate authenticating source from the Login Using drop-down.

5. Enter your **User Name** and **Password**. The Review Reports page will display for Reviewers.

Verifying Your Profile and Review Chain

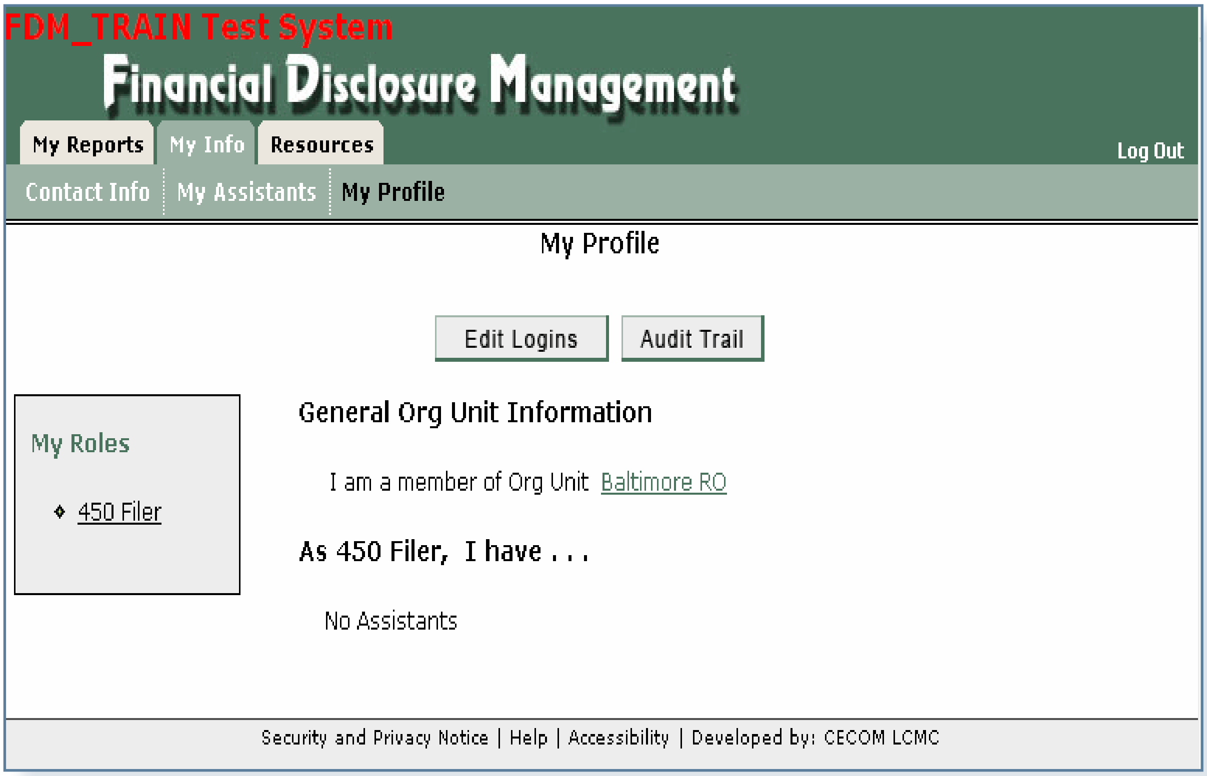
Prior to creating a financial disclosure report in FDM, it is recommended that you first verify if your Contact Information and Profile is up to date and accurate.

Click **My Info| My Profile** to view the information pertinent to your selected role:

Filers	Can view Org Unit and a listing of their assigned Filer Assistants.
Supervisor	Can view a listing of their assigned Org Units and Ethics Counselors.
Senior Legal Counsel	Can view a listing of their assigned Org Units, Senior Legal Counsel Assistants, and Ethics Counselors.
Filer Assistants	Can view their associated Filers.
POCs	Can view their associated Org Units.
Ethics Counselors	Can view their associated Senior Legal Counsels or 450 Certifiers.

To verify your FDM Profile information:

1. Select the **My Info** tab and then select **My Profile**. The My Profile page is displayed.
2. Select your FDM role from the My Roles list to view the appropriate Profile information.



Helpful Hints

Many filers find it helpful to have their information ready when they fill out the form. For example, if you have a number of individual stocks, many brokerages with online access will allow you to create a printout for the period covered by the form.

You cannot skip any section within the OGE 450 report even if you do not have any information to report. You must click through all sections being sure to select **No** if you do not have any information to disclose.

Remember to include the income and assets of your spouse as well as the assets of any dependent children.

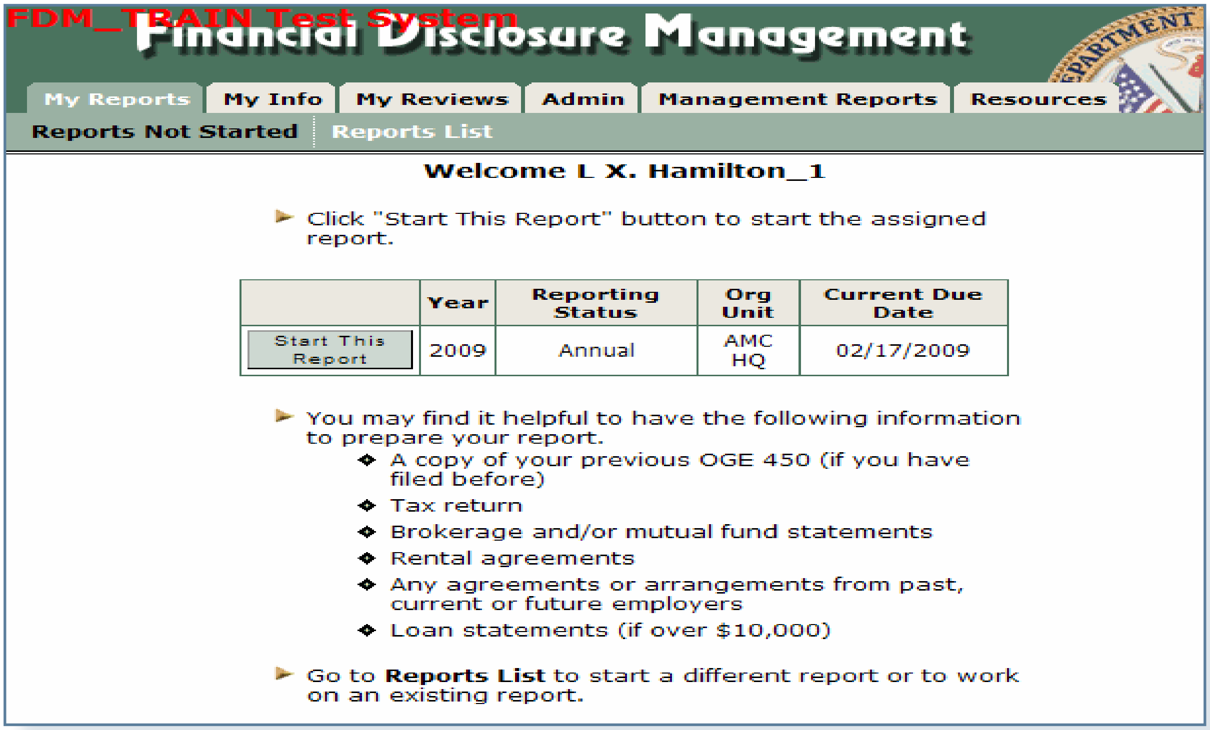
Add a New Report

My Reports is the main workspace for Filer reports in FDM. It is where you can begin a new report and edit/ view existing reports.

Once you have verified your profile information in FDM, you can begin creating your financial disclosure report.

Reports Not Started

1. Click **My Reports**. The Reports Not Started page is displayed if you have been assigned a report to create in FDM.



2. Click **Start This Report.**

Filer Assistants manage a Filer's Reports list from the Assist Filers tab.

Reports List

FDM Filers can begin their reports ahead of being assigned the task by clicking the Reports List tab and then **Add New Report**.

OGE 450 FDM Getting Started Screens

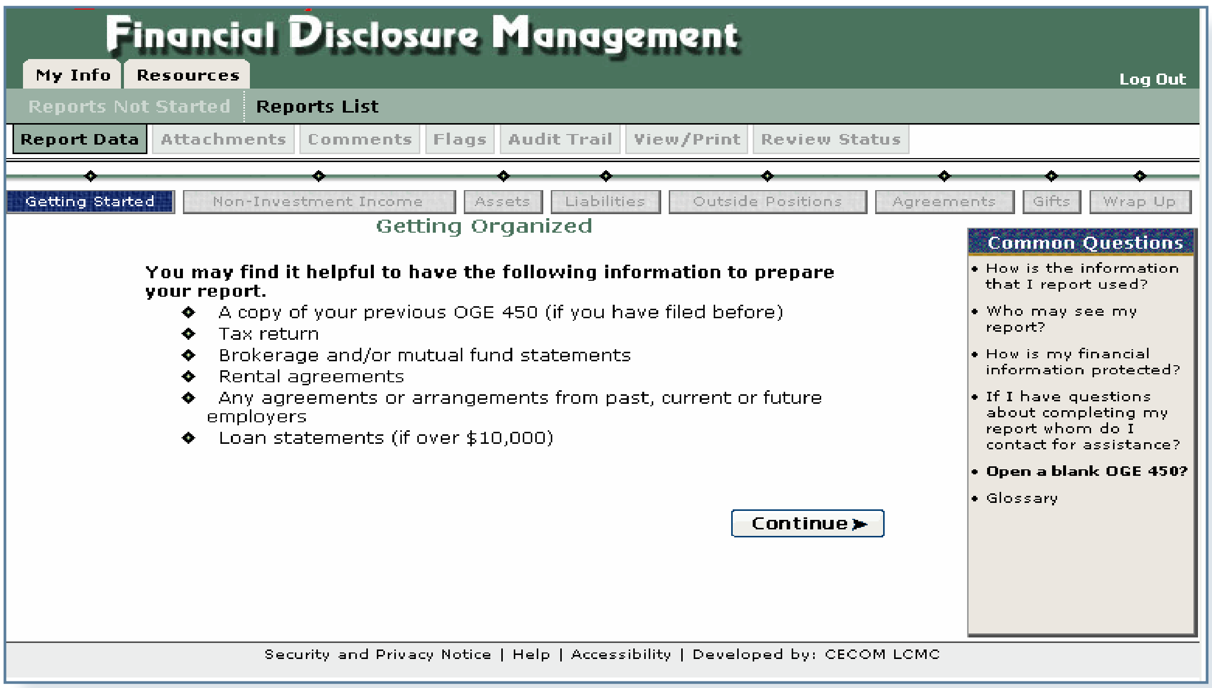
The following OGE 450 screens vary depending upon Reporting Status and whether the report was assigned.

- Annual filers select an existing report to pre-populate this report or select the year covered by this report.
- New Entrant filers select if they are a Special Government Employee or enter their appointment date.

Getting Started

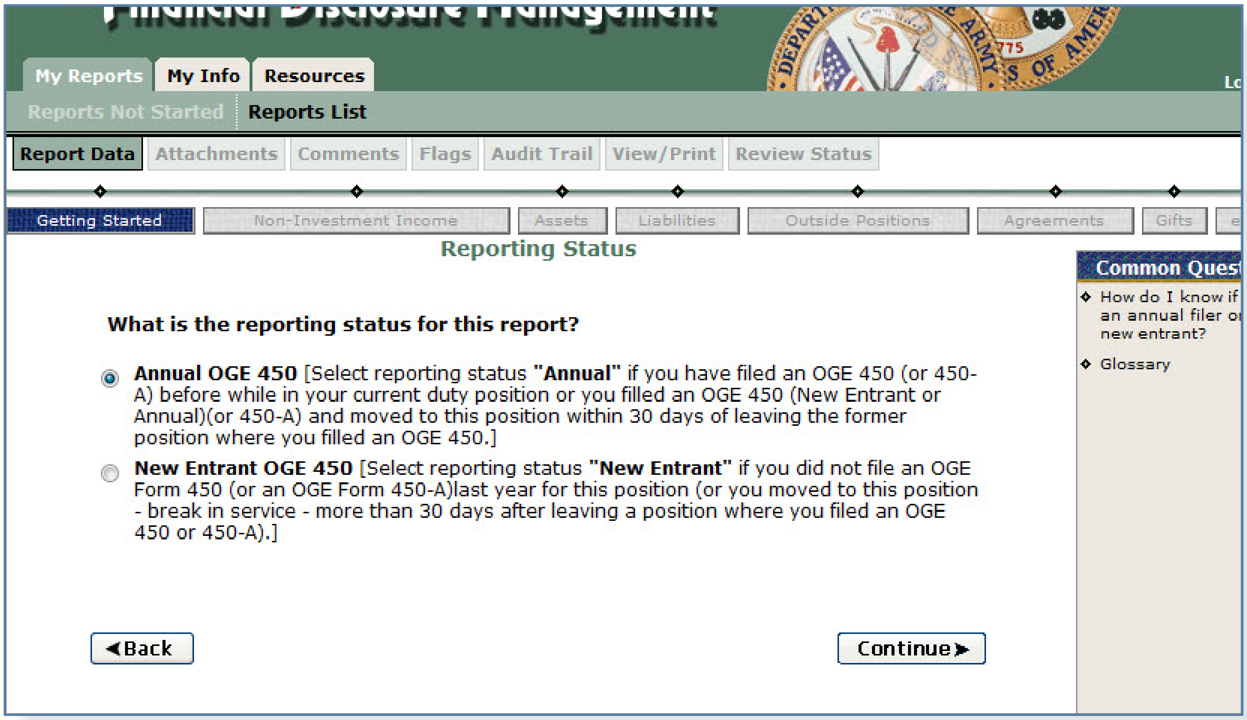
Before drafting your disclosure report, it is a good idea to have the following items on hand.

- A copy of your previous OGE 450 (if you have filed before)
- Tax return
- Brokerage and/or mutual fund statements
- Rental agreements
- Any agreements or arrangements from past, current or future employers
- Mortgage statement (if a rental)
- Credit card and any other loan statements



3. When ready, click **Continue.** The Reporting Status screen displays a selection of report types.

Reporting Status



4. Leave the assigned Reporting Status and click **Continue**.

Field	Description
Annual	Select **Annual** if you are filing during the annual filing season. Also select **Annual** if you filed a report in the previous year and are still in the same position as when you filed your last disclosure report. An Annual Report is due annually, no later than February 15th following the covered reporting calendar year.
New Entrant OGE 450	Select **New Entrant** if this is the first time you are filing a disclosure report and it is outside of the January/February annual filing season. The New Entrant report must be filed within 30 days of assuming a new position.

Do not select New Entrant if you have filed a report before and this is the first time you are using FDM.

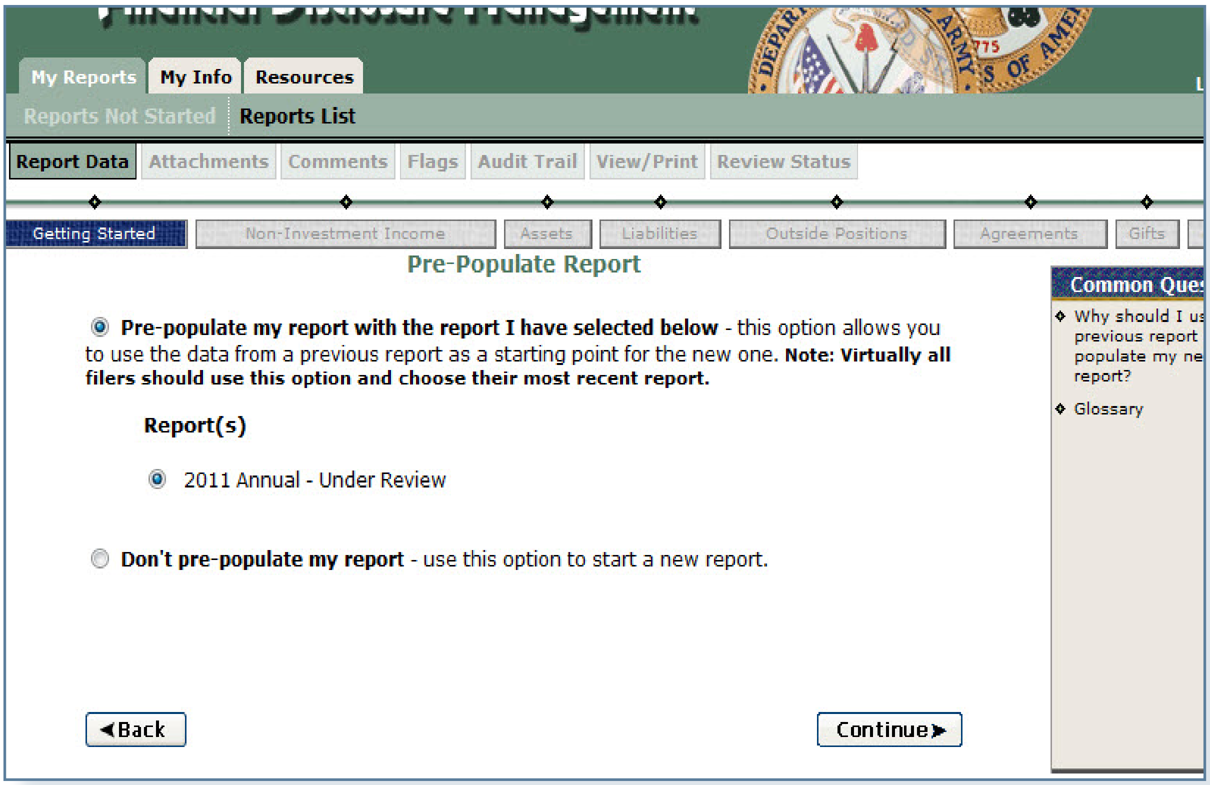
Pre-Populate Report

Select the most recent or current report from the pre-population list to ensure accuracy and consistency in your reporting. You can only pre-populate from reports created after 12/2/2006. Any reports created before this date will not be available to be selected for pre-population.

FDM simplifies the maintenance of financial disclosure reports by allowing you to carry over any previously entered financial disclosure reporting information when creating new reports. Selecting to pre-populate a report, pre-fills existing report information from the selected report into your new report.

Compare a Pre-populated Report

If you pre-populate your report in FDM, you can easily compare changes/differences between last year's report and this year's on one page.



5. Select an existing report to pre-populate or select **Don't Pre-populate** and click **Continue**.

6. Review the Due Date, finish filling in the Contact Information pages and click **Continue**.

Once your report is pre-populated, you should review and verify the entries in the Pre-Population Results Summary List. If necessary, update where appropriate.

Checkpoint

The Checkpoint page displays a reminder message regarding the date this report is due. If you pre-populated your report, it cautions Filers to review report information that was carried forward from an existing report.

7. Review the information on the screen and then click **Continue.** The Report has a draft Review Status.

Report Data

The Report Data wizard is the main area used for preparing an OGE 450. Information in the Report Data sections relates to the Filer, spouse and dependent children.

You must click through all sections of the OGE 450 being sure to select **No** if you do not have any information to disclose for that section.

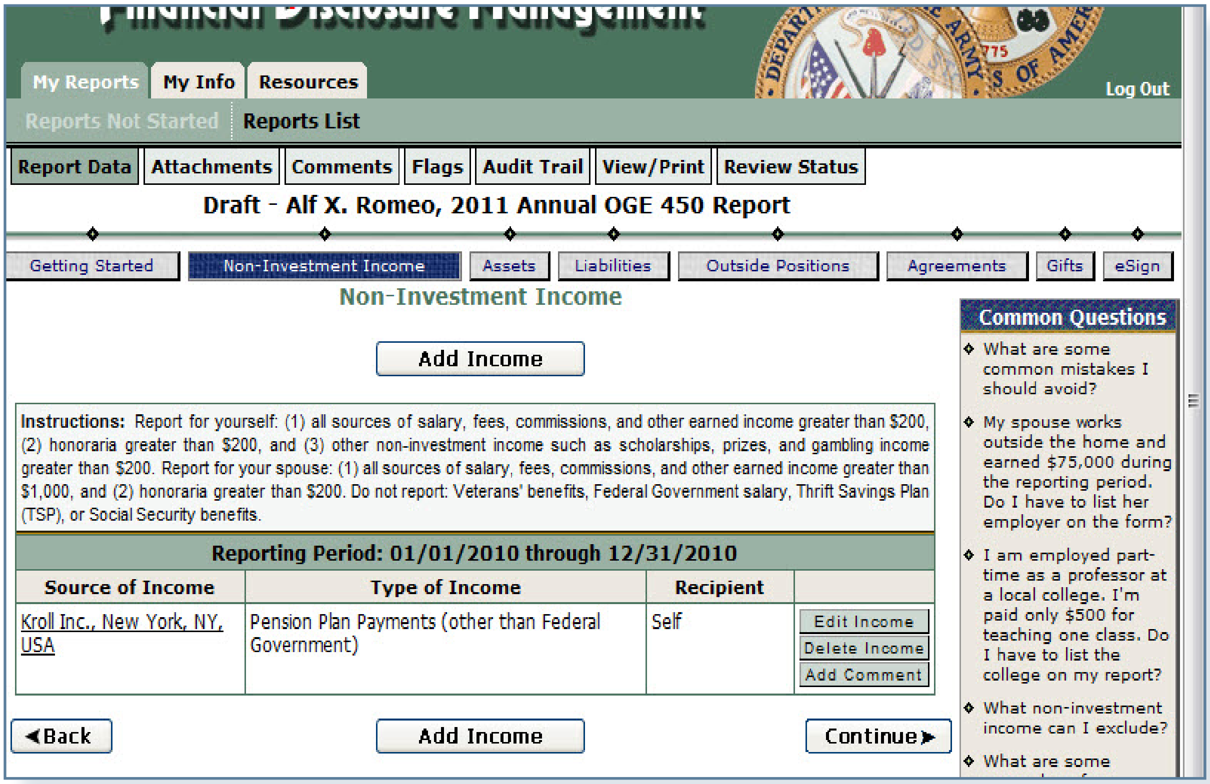
The process for entering report data is the same no matter what type of information you need to report. If the report has been pre-populated, it is only necessary to confirm/verify the data listed in each Report Data section, make any necessary corrections/additions/deletions and click **Continue** to proceed on to the next Report Data area.

The following Report Data sections are included in an OGE 450 financial disclosure report.

OGE 450
Non Investment Income
Assets
Liabilities
Outside positions
Agreements
Gifts - New Entrant and SGE filers do not have to complete the Gifts section of the OGE disclosure report.

Managing Line Items

Filers can add, edit, and delete specific line items in FDM when necessary. Reviewers and or Filers can add comments to specific line items within a financial disclosure report.



Notice, that FDM provides instructions for each section of the report at the top of each Report Data page.

The process for entering report data is the same no matter what type of information you need to report. For example, on the Assets page, you can add another asset, revise or delete an existing asset or add a comment by following the steps listed below. When complete, click **Continue**.

Field	Description
Edit Asset	Click **Edit Asset** to make any changes to an existing asset.
Delete Asset	Click **Delete Asset** if you wish to remove an asset from your report.
Add Comment	Click **Add Comment** to add comments to specific line items.

- Remember, you must click through all sections of the OGE 450 being sure to select No if you do not have any information to disclose for that section.
- Do report your spouse's income.
- Do not report your own Federal income.

Non-Investment Income

For OGE 450 filers, report any earned and other non-investment income exceeding $200 for yourself and exceeding $1,000 for your spouse. Examples of earned and non-investment income are salary, director's fees, pension annuity, etc.

Adding Non-Investment Income

1. Click the **Non-Investment Income section**. The Non-Investment Income page is displayed.
2. Select **Yes** to indicate you do have earned income other than U.S. Government salary or retirement benefits and then click **Continue**. The Add Non-Investment Income page is displayed.

3. Enter the non-investment income information and when complete, click **Save**. The Non-Investment Income page is displayed with you new entry.

- **What non-investment income can I exclude?** Do not report: Dependent child's earned income; Veterans' benefits; Federal Government salary; Social Security benefits.

Field	Description
Source of Income:	Enter the name of Employer or Business, which is the source of fees, commissions, or honoraria. Include the city, state and country. Also, indicate if it is a publicly traded source.
Owner/Recipient	Select Self or Spouse
Type of Non-Investment Income	Select the appropriate income type.

Be sure to delete any Diversified Mutual that may have carried forward and converted to Sector Mutual Funds. It is no longer necessary to report Diversified Mutual Funds.

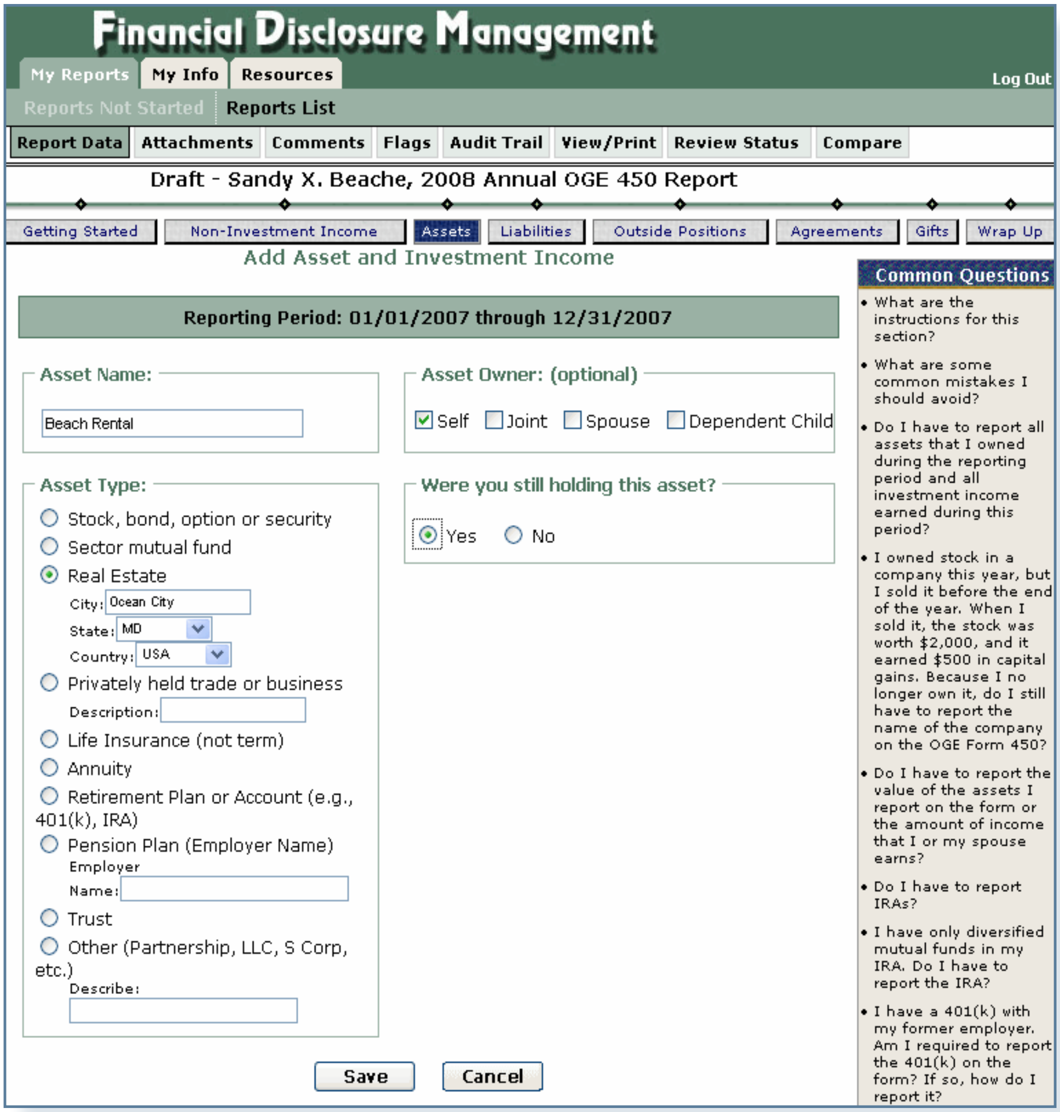
Assets

FDM includes information about the reporting period tailored to a Filer's report type, e.g., New Entrant or Annual.

For New Entrant Filers, the Assets and Investment Income section should include all interests and income items received and accrued during the period between January 1 of the preceding calendar year and ending on the date on which the report is filed.

Adding an Asset

1. Click the **Assets section**. The Assets and Investment Income page is displayed.
2. Select **Yes** to indicate you do have reportable assets and/or income and then click **Continue**. The Add Asset and Investment Income page is displayed.



- Do report rental property managed by you or your spouse.
- Type the complete names of Sector Mutual funds and stocks (include a ticker symbol, if known).
- Do not report checking and savings accounts and diversified mutual funds.

3. Enter the asset information and when complete, click **Save**. The Assets page is displayed with you new entry.

Field	Description
Asset Name:	Enter the appropriate asset name. For example, type the name of a company, financial institution, educational institution, or non-profit entity. If it is a mutual fund, you must include the full name of the investment.
Asset Type	Select the appropriate asset type and provide any additional information where necessary.
Asset Owner	Select the person(s) responsible for owning the asset.
Were you Still Holding this Asset?	Select Yes or No. Select No if the asset is no longer held at the end of the reporting period, but which must still be listed because it generated over $200 in income during the reporting period.

Liabilities

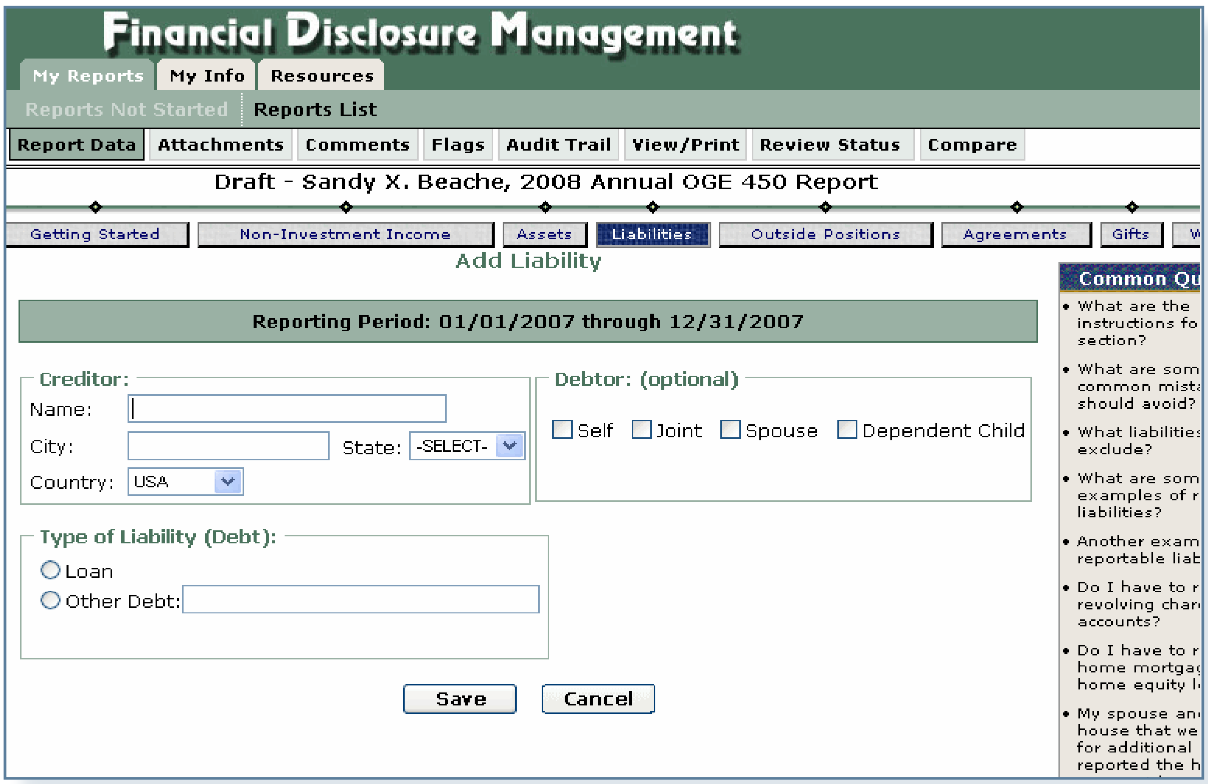
For you, your spouse or dependent children, report any liability over $10,000 owed to any one creditor at any time during the reporting period. Examples to include are student loans, mortgages on a rental property, business loans, and revolving charge accounts exceeding $10,000

Remember, you must click through all sections of the OGE 450 being sure to select No if you do not have any information to disclose for that section. .

Adding Liabilities

1. Click the **Liabilities section**. The Liabilities page is displayed.

2. Select **Yes** to indicate you do have liabilities to report and then click **Continue.** The Add Liability page is displayed.



Do report a mortgage on a rental property, business loans and any single debt over $10,000.

Do not report the mortgage on your primary residence or revolving charge accounts.

3. Enter the liability information and when complete, click **Save**. The Liabilities page is displayed with you new entry.

Field	Description
Creditor	Enter the creditor's (person to whom the debt is owed) name and location (city, state and country.)
Type of Liability	Select the type of liability. If you select Other, you must include a description.
Debtor	Select the person who is responsible for the liability.

Outside Positions

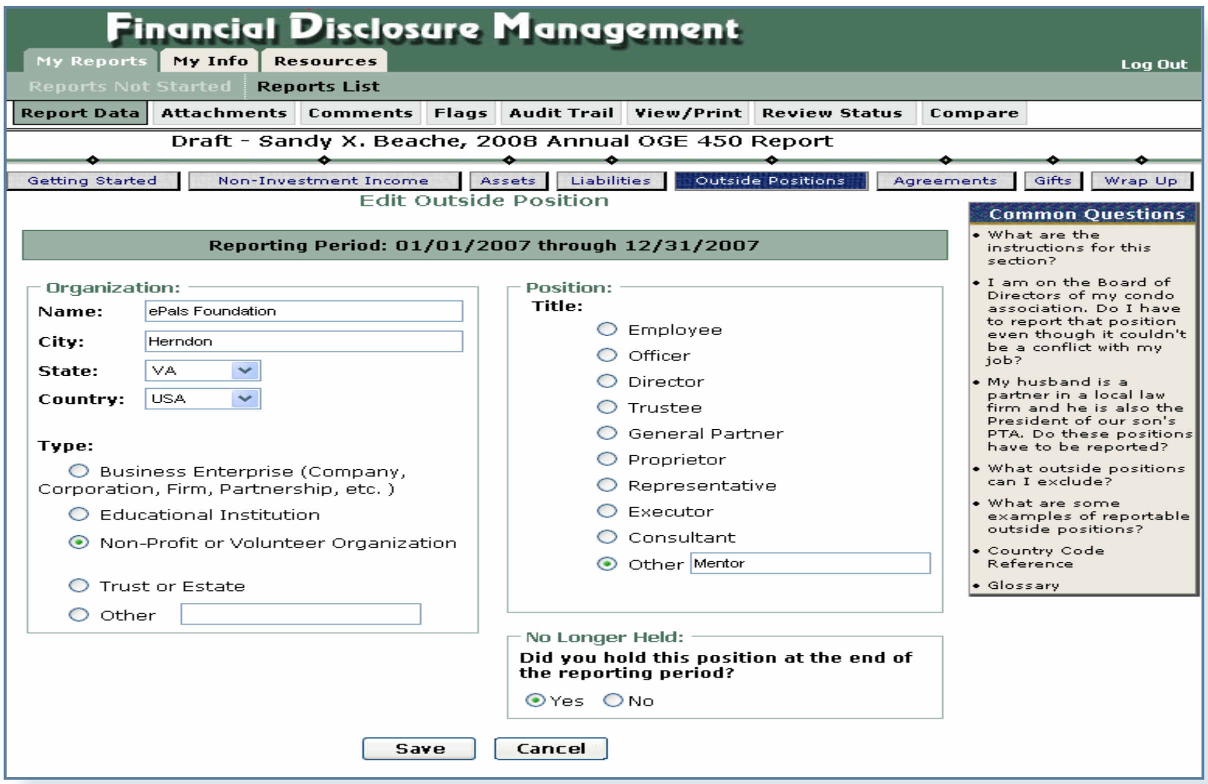
List positions you hold outside the government, whether or not you are compensated. Report positions held in any for-profit or non-profit organization at any time during the calendar year up to the date of filing. Be sure to include any partnership or trustee position. Include both paid and unpaid positions.

- Positions with a religious, social, fraternal, or political entity and positions of a solely honorary nature do not have to be reported.

Adding Positions

- If you receive more than $200 in compensation, you must report this income within the assets section of your disclosure report.

1. Click the **Outside Positions section**. The Positions Held Outside of US Government page is displayed.
2. Select **Yes** to indicate you do hold any positions outside of the US Government to report and then click **Continue**. The Add Outside Position page is displayed.



3. Enter the position information and when complete, click **Save**. The Positions Held Outside of US Government page is displayed with your new entry.

Field	Description
Organization	Enter the organization or entity's name, location (city, state and country) and the type of organization.
Positions Held	Select the position's title or nature of activity. If selecting Other, include a functional description of the position. Include the dates you held this position.
No Longer Held	Select **Yes** or **No**. Select No if the outside position is no longer held at the end of the reporting period.

- Filers need not add information concerning agreements or arrangements entered into by their spouse or dependent children
- Do report post -employment plans and severance pay.

Agreements

Filers must describe for themselves any agreements or arrangements held at the end of the reporting period. Describe all agreements or arrangements concerning future employment, leaves of absence, severance payments, continuing payments from a former employer, or continuing participation in employee pension, welfare, or benefit plans except those with the U.S. Government

Note: Such assets must also be reported within the assets section of your disclosure report.

Adding Agreements

1. Click the **Agreements section.** The Agreements and Arrangements page is displayed.
2. Select **Yes** to indicate you do have agreements and/or arrangements to report and then click **Continue**. The Add Agreement or Arrangement page is displayed.

3. Enter the agreement information and when complete, click **Save**. The Agreements and Arrangements page is displayed with your new entry.

Field	Description
Other Party	Enter the organization or entity's name, location (city, state and country) and the agreement date.
Type of Agreement	Select the agreement type.
Terms of Agreement or Arrangement	Describe the basic elements of the agreement or arrangement, such as terms of employment, effective dates, etc. Include the name and title of the official, corporate officer, or principal person responsible for carrying out the terms of the agreement or arrangement.

- Gifts or Travel Reimbursements do not apply to new entrants and special Government employees (SGEs).

- Any gifts or travel reimbursements you entered on a previous report do not carry forward because they are only related to a specific reporting period.

Gifts

Annual OGE 450 Filers add Gifts or Travel Reimbursements. Information in this report section relates to the Filer, spouse and dependent children. The Gifts section should include gifts, in-kind travel expenses and travel related reimbursements aggregating to more than $335 from any one source other than the U.S. Government during the preceding year.

Adding Gifts, etc.

1. Click the **Gifts** section. The Gifts and Travel Reimbursements page is displayed.

2. Select **Yes** to indicate you do have Gifts to report and then click Continue. The Add Gift or Travel Reimbursements page is displayed.

3. Enter the gift information and when complete, click **Save**. The Gifts, Reimbursements and Travel Expenses page is displayed with your new entry.

Field	Description
Donor/Name	Enter the donor’s name and location (city, state and country.)
Recipient	Select the appropriate recipient.
Type	Select the type of gift: In Kind Travel Expense, Reimbursement Expense, and Other Gift.
Brief Description	Include a brief description and the date of receipt. For example, Event(s) tickets for seats owned by Amer. History Museum 2/01/06 - 03/31/06.

Filers can submit financial disclosure reports with yellow flags.

eSign

FDM automatically reviews your report and alerts you to any incomplete or missing prior to your submission through report flags. Review your report flags and correct any errors before submitting your report. OGE 450 filers cannot submit a report that has red flags.

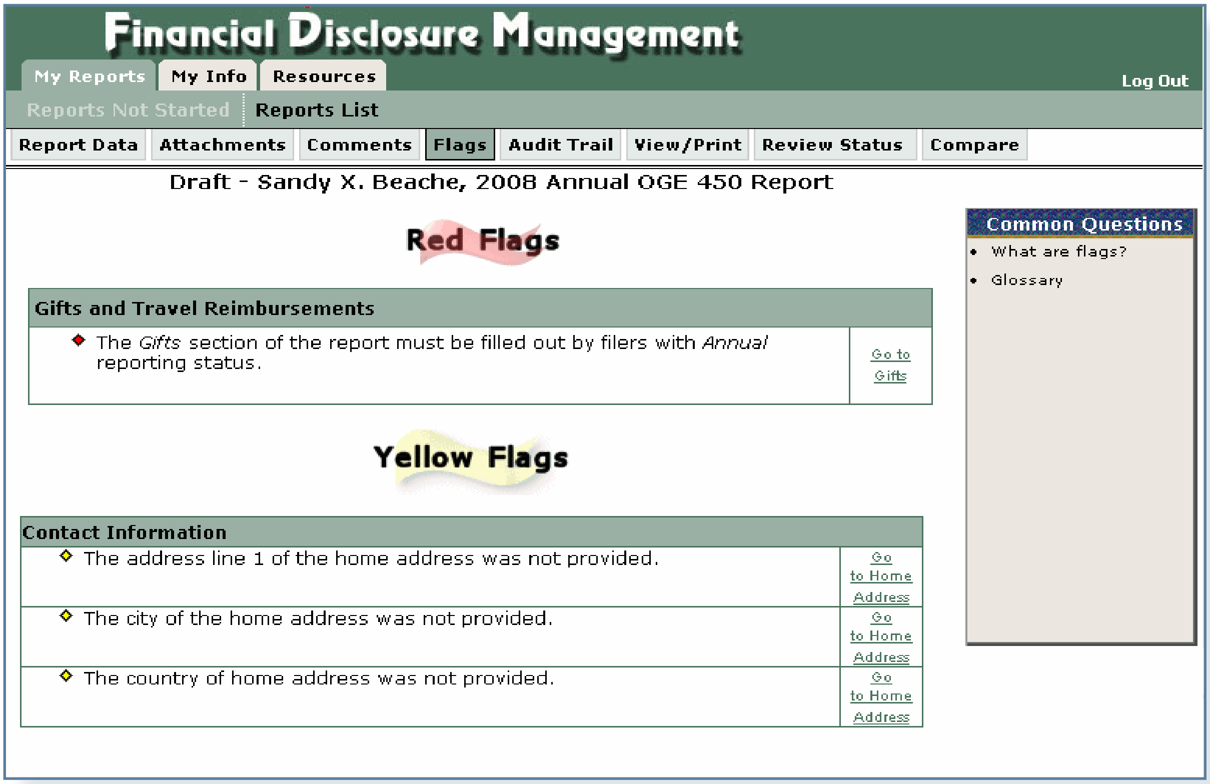
Not Ready for Submission

The Report Not Ready for Submission page will display for OGE 450 reports if red flags are identified. FDM automatically flags missing or incomplete information that requires further action by the Filer or a reviewer. Flags should be resolved before eSigning a report. Consult your legal advisor for assistance. Yellow flags are cautionary items drawing attention to Filers and reviewers to take a closer look.

1. On the Report Not Ready for Submission page, click **Continue** to review your report flags and correct any errors before submitting your report.

Reviewing Flags

The Flags page displays any of the Red or Yellow flags for your report.

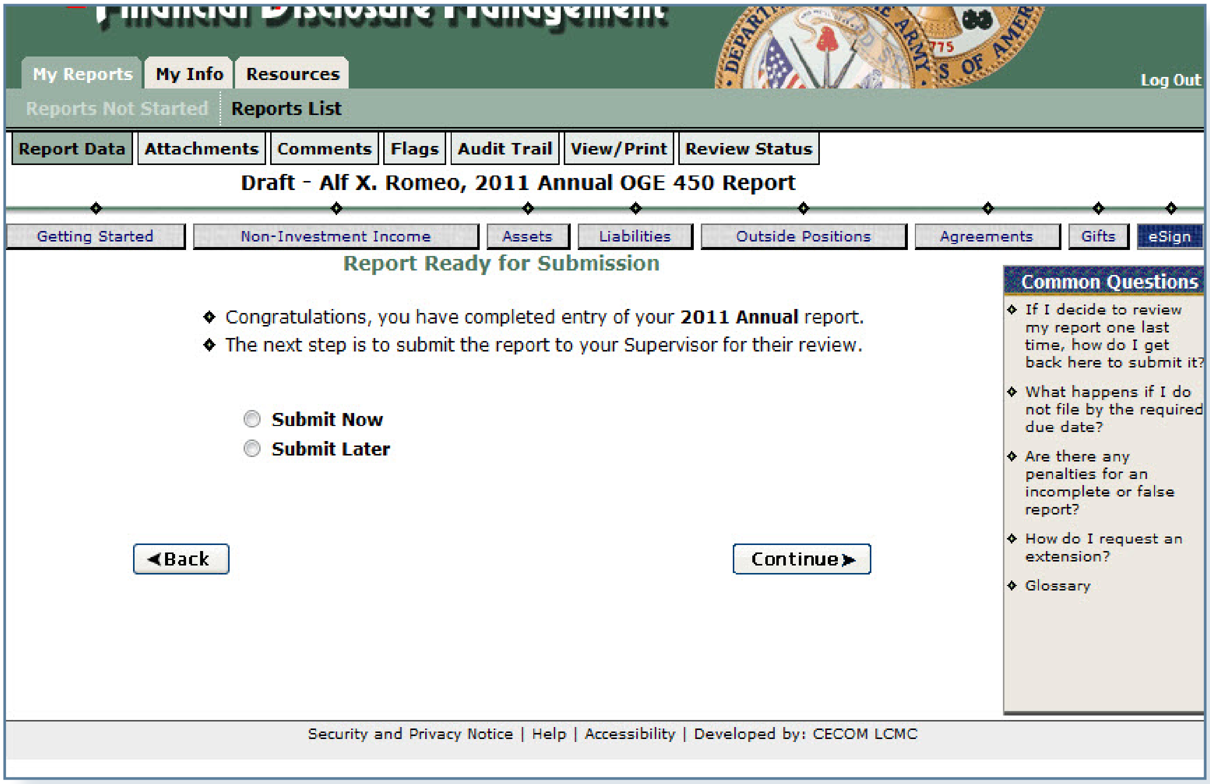


Field	Description
Red Flags	A red flag indicates required information is missing and that it should be provided before the report is submitted.
Yellow Flags	A yellow flag indicates that information is missing but is not required in order to submit your report.

Click **Flags** at any time to review a listing of your Red and Yellow flags.

1. Click **Edit** beside any flagged area to adjust that entry.
2. When complete, click **eSign**. The Report Ready for Submission page is displayed.

Report Ready for Submission



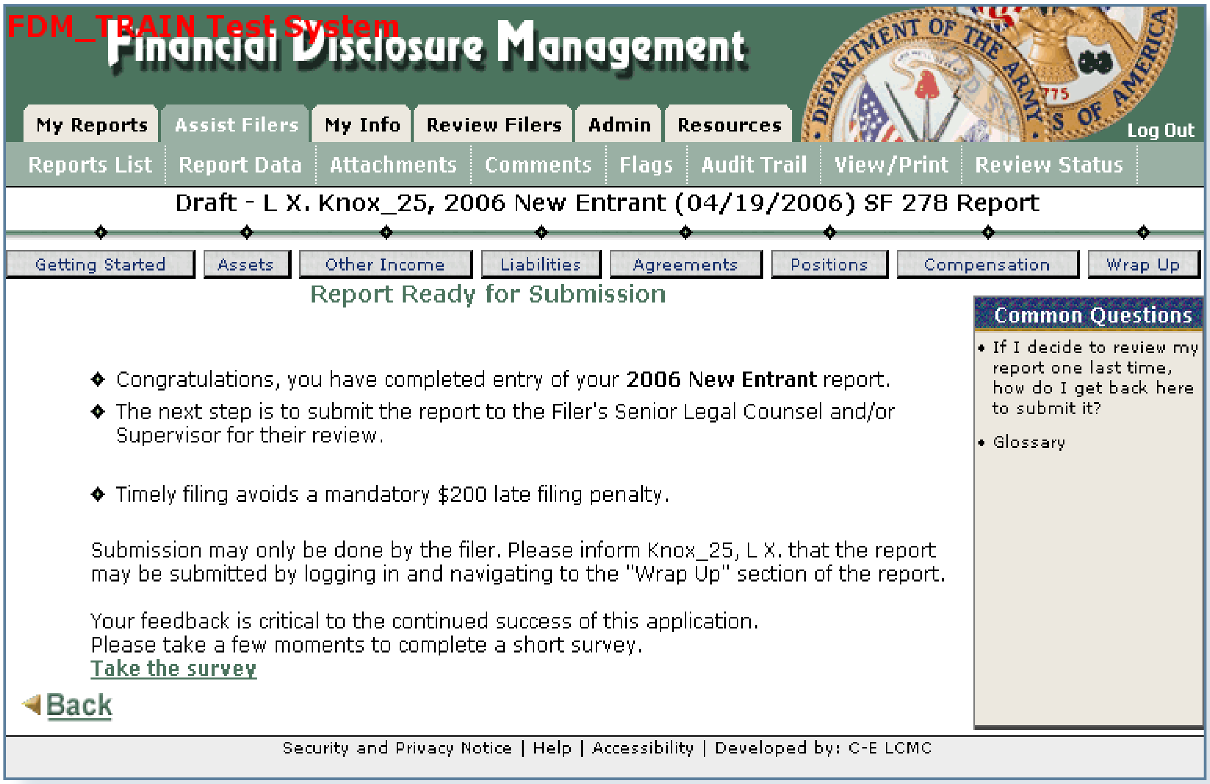
3. On the Report Ready for Submission page, select **Submit Now** or **Submit Later** and then click **Continue** to eSign the report.

Field	Description
Submit Now	Select **Submit Now** to eSign your report and submit for review to your Senior Legal Counsel and Supervisor.
Submit Later	Select **Submit Later** to save your report in FDM if you cannot complete your report at this time.

Only the Filer can submit a financial disclosure report in FDM.

Filer Assistant - eSign

If a Filer Assistant has prepared the financial disclosure report on behalf of a Filer, the Report is Ready for Submission page is displayed directing the Filer Assistant to inform the Filer that the report is ready to be submitted

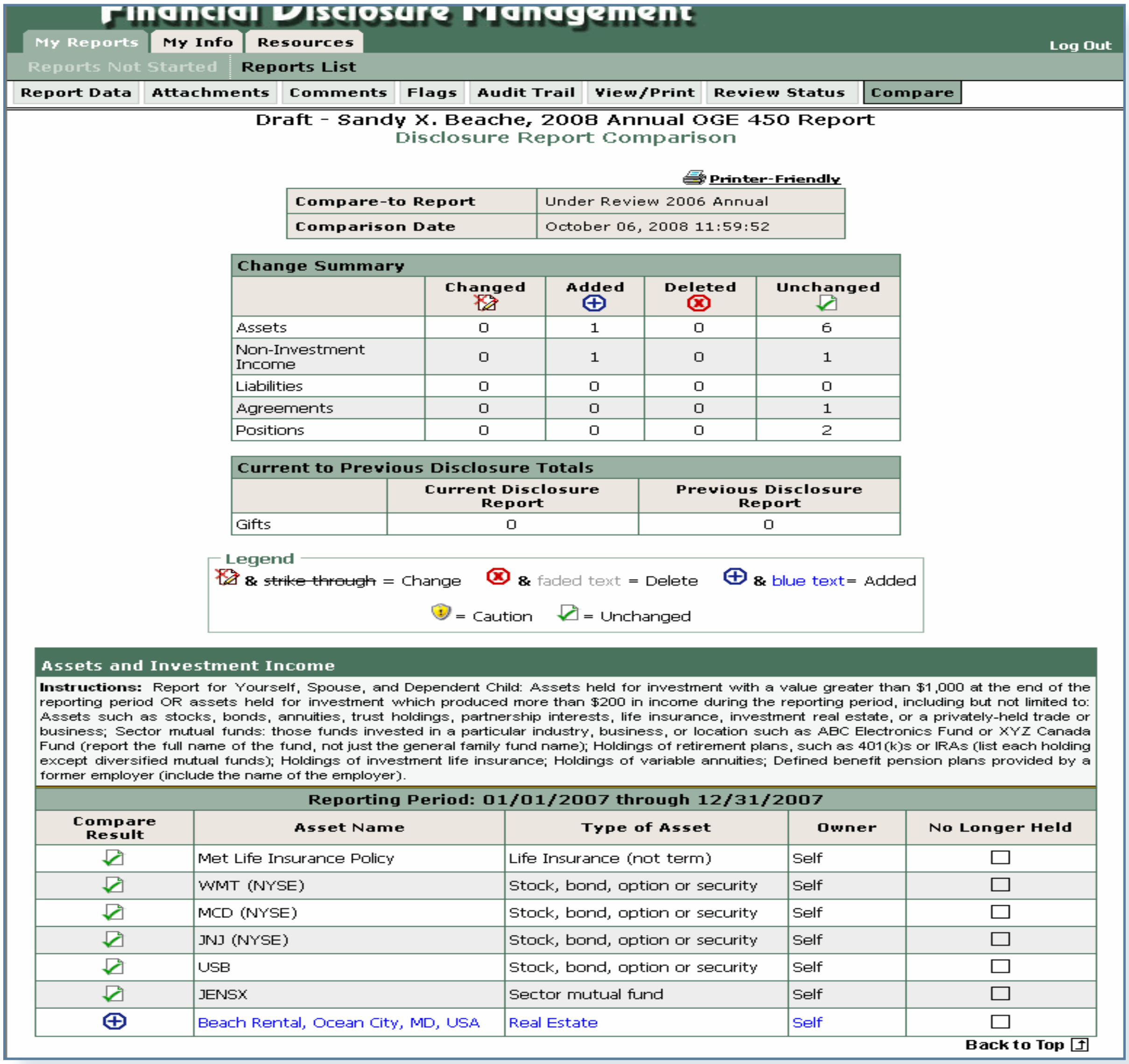


Compare a Pre-populated Report

You can easily compare changes/differences between last year's report and this year's on one page. The Compare feature is only available if the Filer pre-populated from a previous report.

Comparing Reports in FDM

1. Click **Compare**. The Disclosure Report Comparison page is displayed.



Financial Disclosure Management

My Reports | My Info | Resources | Log Out

Reports Not Started | Reports List

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Compare

Draft - Sandy X. Beache, 2008 Annual OGE 450 Report

Disclosure Report Comparison

Printer-Friendly

Compare-to Report	Under Review 2006 Annual
Comparison Date	October 06, 2008 11:59:52

Change Summary	Changed	Added	Deleted	Unchanged
Assets	0	1	0	6
Non-Investment Income	0	1	0	1
Liabilities	0	0	0	0
Agreements	0	0	0	1
Positions	0	0	0	2

Current to Previous Disclosure Totals	Current Disclosure Report	Previous Disclosure Report
Gifts	0	0

Legend

& ~~strike-through~~ = Change & faded text = Delete & blue text= Added

= Caution = Unchanged

Assets and Investment Income

Instructions: Report for Yourself, Spouse, and Dependent Child: 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: Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business; Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name); Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds); Holdings of investment life insurance; Holdings of variable annuities; Defined benefit pension plans provided by a former employer (include the name of the employer).

Reporting Period: 01/01/2007 through 12/31/2007

Compare Result	Asset Name	Type of Asset	Owner	No Longer Held
Unchanged	Met Life Insurance Policy	Life Insurance (not term)	Self	☐
Unchanged	WMT (NYSE)	Stock, bond, option or security	Self	☐
Unchanged	MCD (NYSE)	Stock, bond, option or security	Self	☐
Unchanged	JNJ (NYSE)	Stock, bond, option or security	Self	☐
Unchanged	USB	Stock, bond, option or security	Self	☐
Unchanged	JENSX	Sector mutual fund	Self	☐
Added	Beach Rental, Ocean City, MD, USA	Real Estate	Self	☐

Back to Top

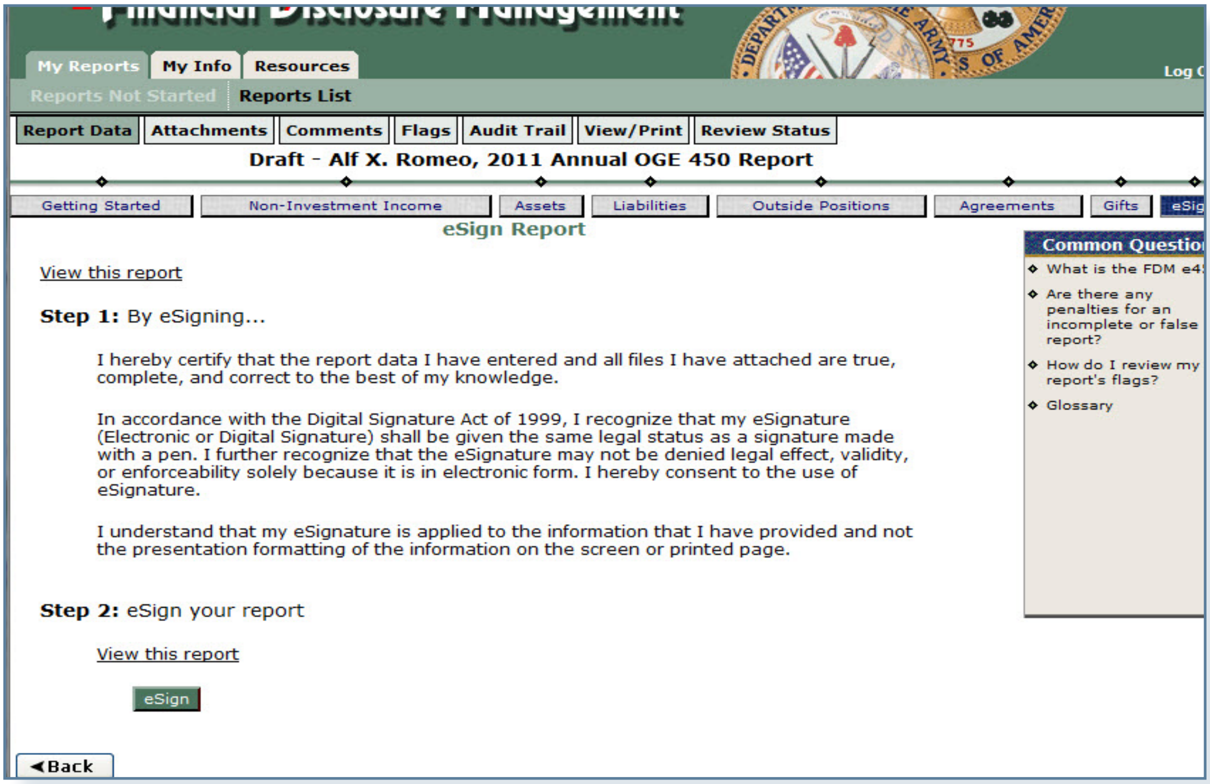
2. Review the report changes.

3. Click **Report Data** and then **eSign** to eSign your report.

Submitting an OGE 450 Report

eSigning Report

Before eSigning your report, review the certification information regarding the DoD Joint Ethics Regulation requirement to acknowledge the annual post-employment certification and notification about post-Government Employment restrictions.

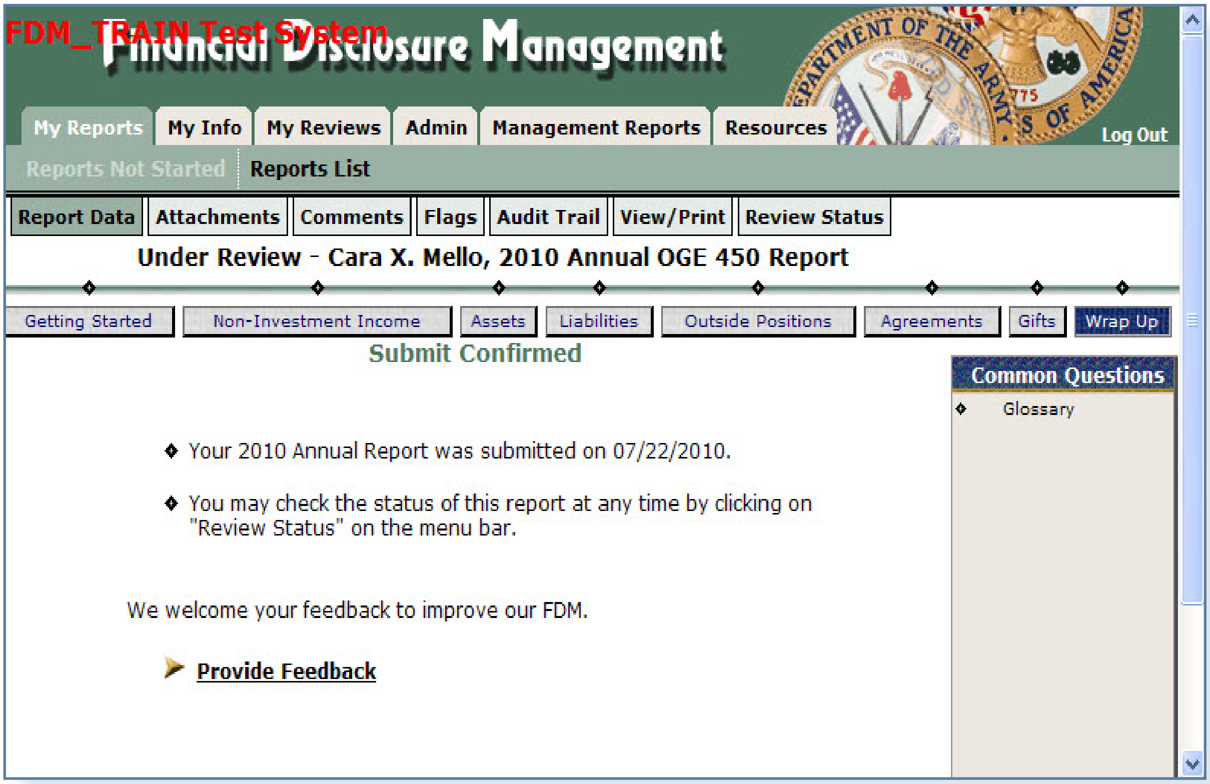


Field	Description
Step 1 Certify	Review the certification passage
View This Report	Click this link to view and print your financial disclosure report prior to submission.
Step 2 eSign	Click eSign to submit your report.

Once you have eSigned your report, FDM sends an e-mail message to the appropriate reviewers indicating that your report is awaiting their review.

Submit Confirmed

Once you have eSigned your financial disclosure report in FDM, a page displays confirming the submission of your report.



Amend a Report in FDM

Amending an OGE 450 report in FDM voids your last digital signature on the report. You must go to eSign to complete the amendment process by digitally signing the report again once your amendments are complete. Only Filers can amend a report. Filer assistants cannot make any changes/amendments to a report once a report has been eSigned.

FDM notifies all the reviewers who completed an initial review of your report prior to this amendment informing them that your report has changed since it was last submitted.

As with drafting or editing your OGE 450 report, you must go to eSign to complete the amendment process. During eSign, you must Re-certify your changes and re-sign your report.

The process for creating an OGE 450 includes the following tasks:

Filing an Amended OGE 450

- The Filer logs in to FDM and verifies their profile and review chain.
- Filer selects a submitted financial disclosure report to amend.
- Filer updates the financial disclosure report.
- Filer reviews the report flags, comments and corrects any errors.
- Filer eSigns and submits the OGE 450 for review.

Note: An e-mail notification is sent to the selected reviewers indicating that they can begin their review process.

Amending an OGE 450 Report

1. On the Reports List Page, click **Amend** beside the appropriate OGE 450 report. Make the appropriate additions/corrections.
2. When complete, click **eSign**. The Report Ready for Submission page is displayed.
3. Submit and eSign your report.

Supplemental Report Comments and Attachments

Occasionally, a Filer or reviewer discovers additional information that should be stored with the report for future reference after the report review is complete. In FDM, Filers and their assistants can add this supplemental information through report comments and report attachments. Adding supplemental information to a completed report does not remove any of the report signatures or change the report's status in FDM.

Important Information

- Report Data cannot be changed or updated once a report is completed in FDM.
- Only the person who attached or added the supplemental item can replace/edit or delete it.
- Supplemental items are not part of the "report of record" and therefore do not print on the e450 report.

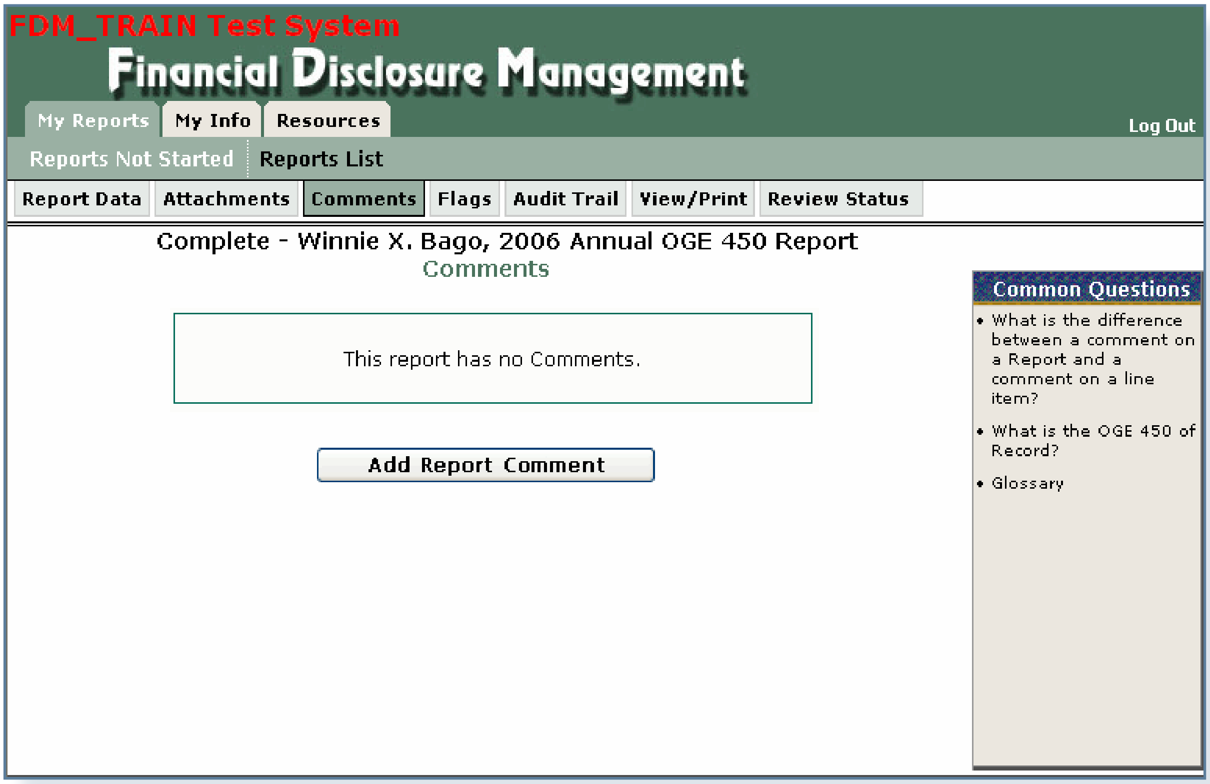
Adding Supplemental Information

1. On the Reports List Page, click **View** beside the appropriate OGE 450 report.

At this point you can add either additional report comments or attachment that provides additional information, a clarification, or a correction to your completed report.

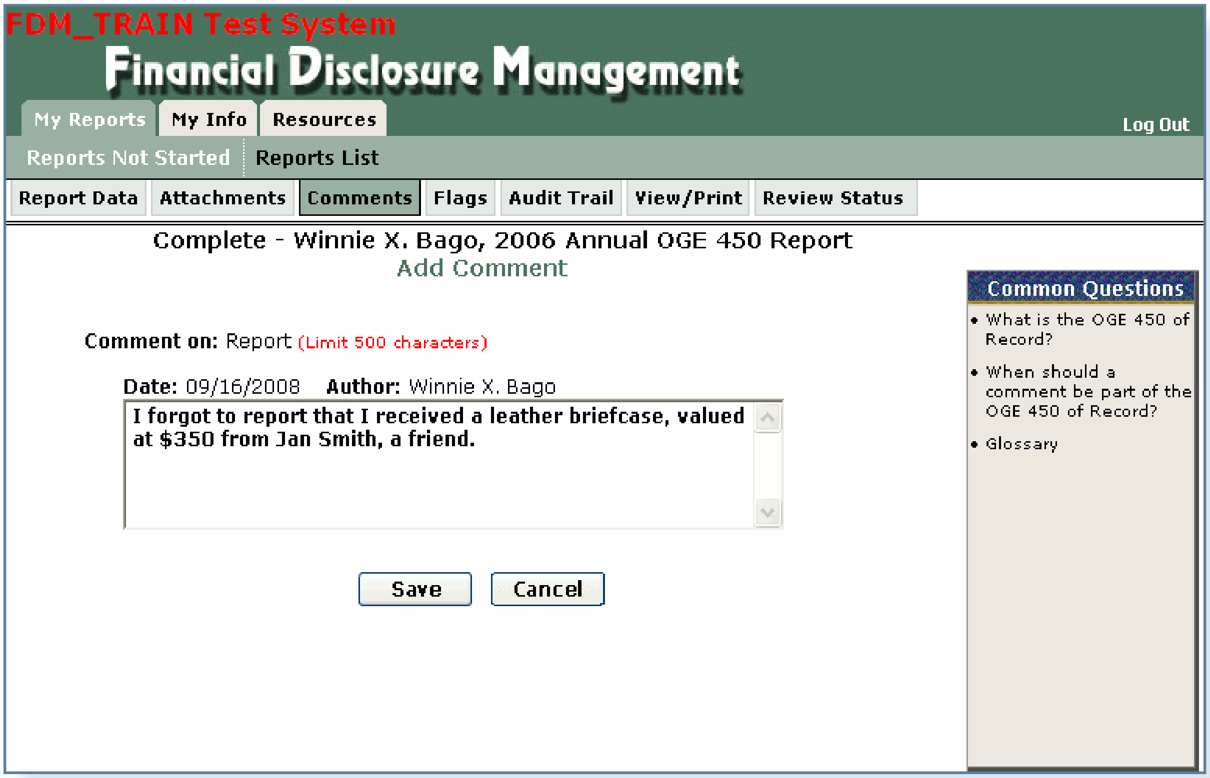
Supplemental Report Comments

1. Click the Comments sub-tab. The Comments page is displayed.

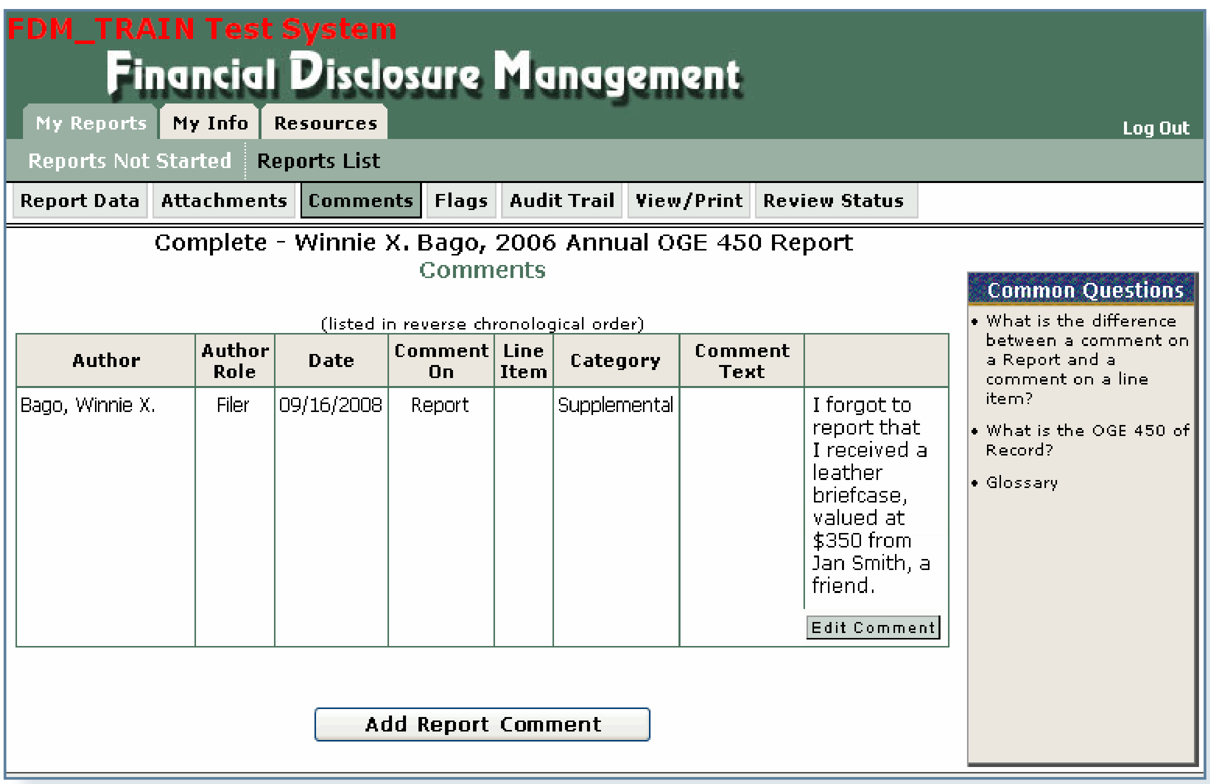


Report comments cannot be deleted.

2. Click **Add Report Comment**. The Add Comment page is displayed.



3. Type your comment and then click **Save.** The Comments page is displayed.

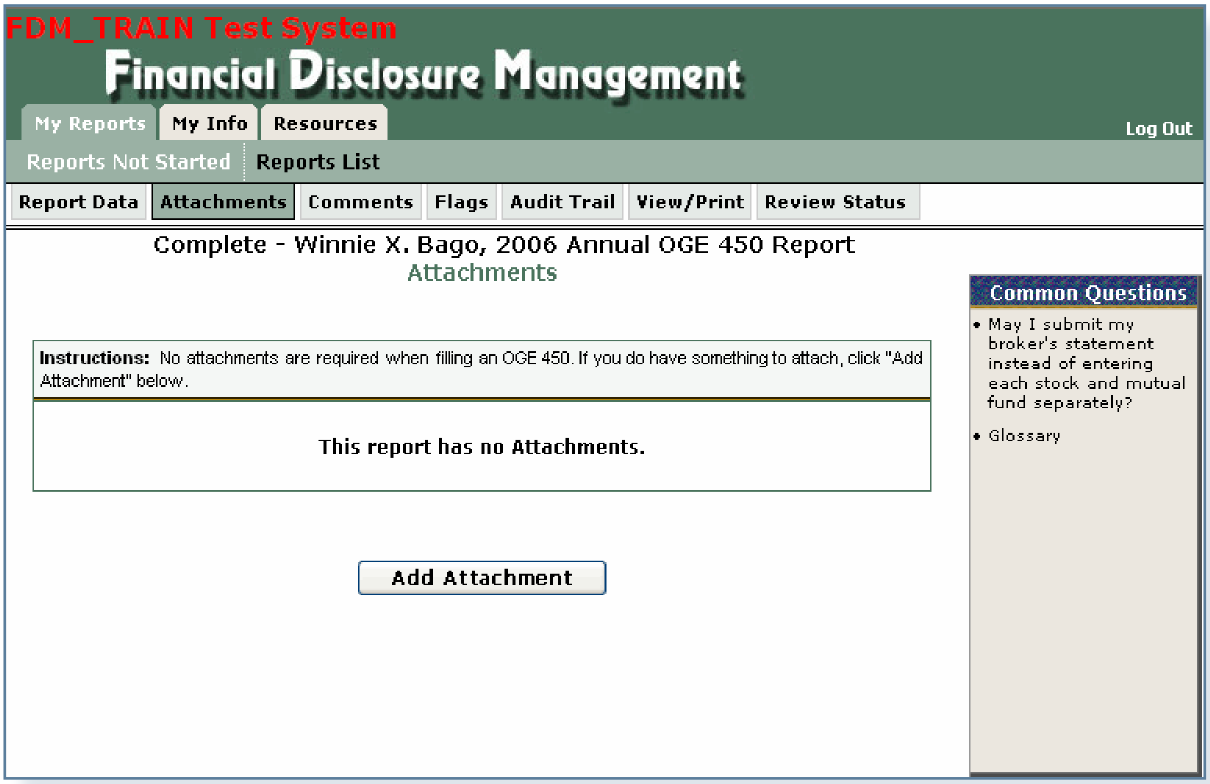


At this point you can edit the comment you just added or add any additional report comments.

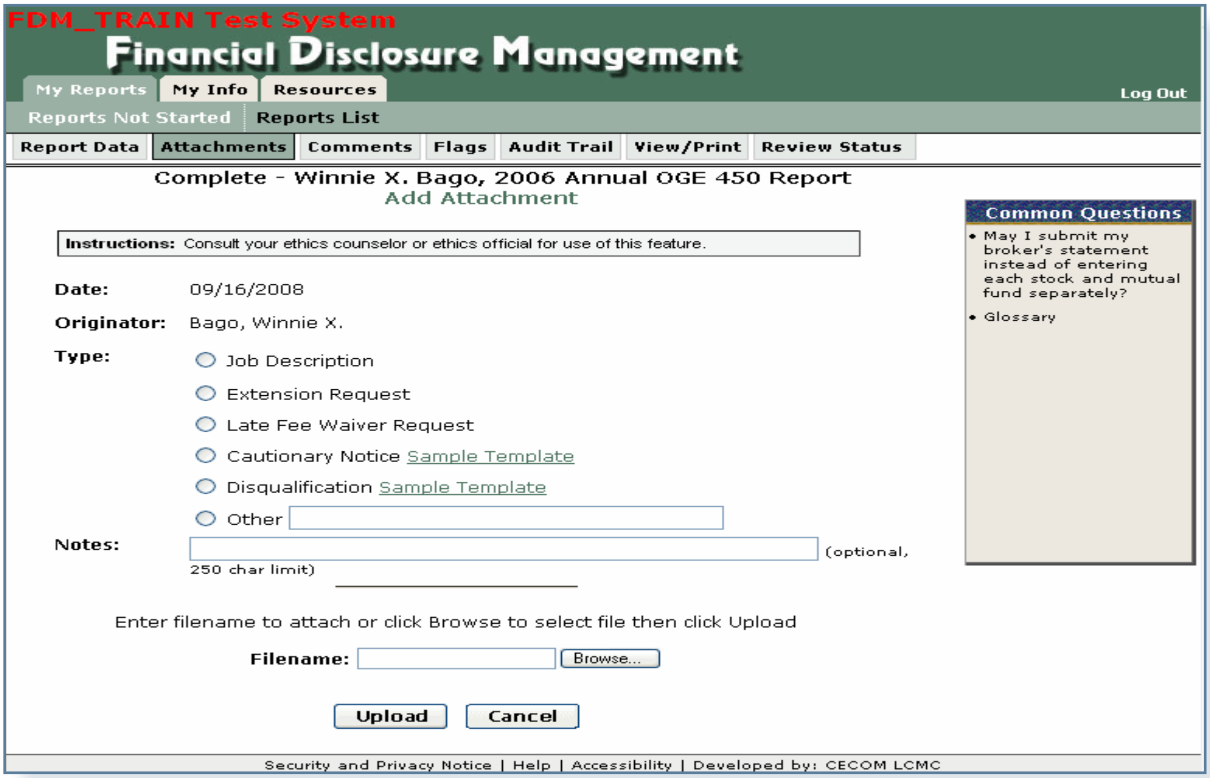
Supplemental Report Attachments

1. On the Reports List Page, click **View** beside the appropriate OGE 450 report.

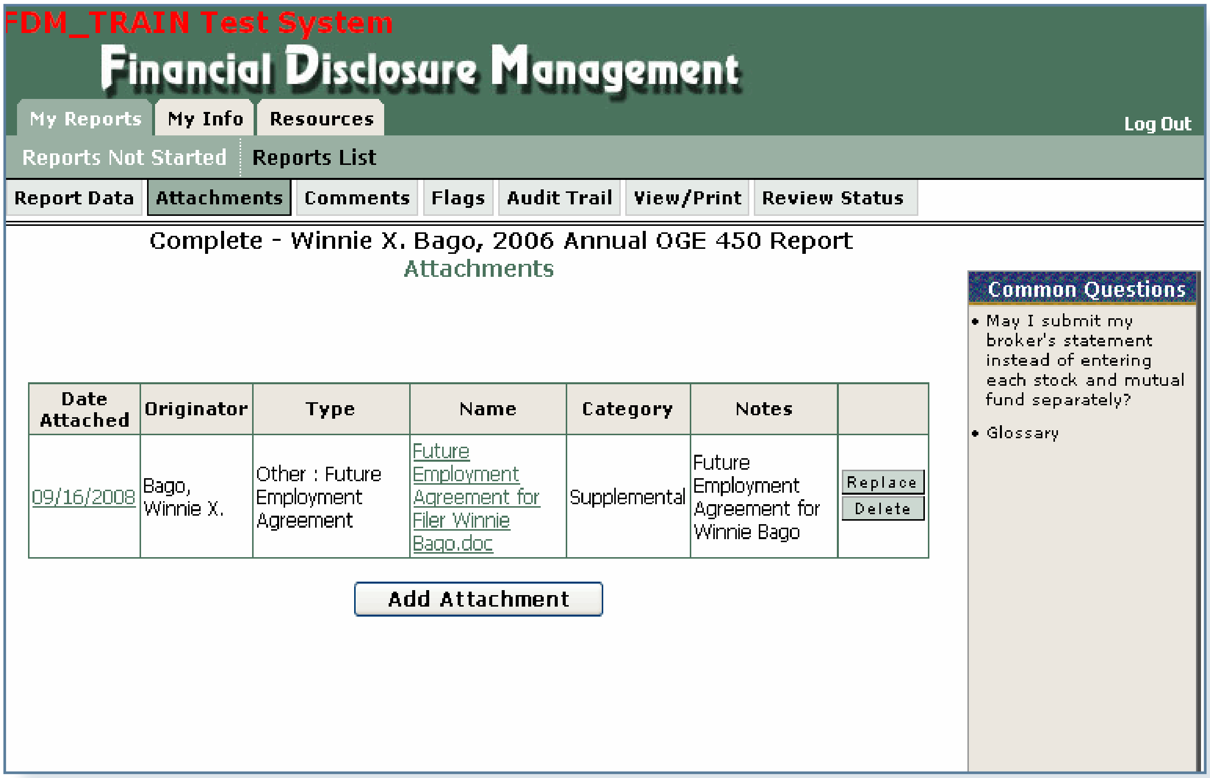
2. Click the Attachments sub-tab. The Attachments page is displayed.



3. Click **Add Attachment**. The Add Attachment page is displayed.



4. Select the Attachment Type and then type a brief description of your file in the Notes field.
5. Click **Browse** to locate the file you wish to upload to your financial disclosure report.
6. Once you have found the file, click **Upload**. The Attachments page displays.



At this point you can Replace and/or Delete any existing attachments or add a new attachment.

Extension requests must be submitted outside of FDM.

Extensions

Determining if an Extension has Been Recorded

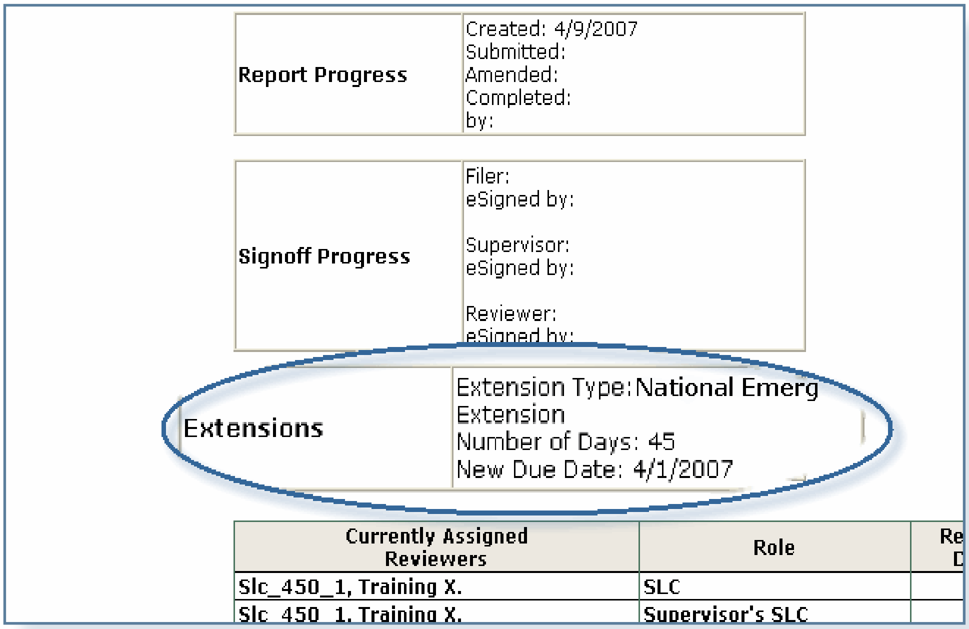
A Filer can determine if an extension has been recorded for a financial disclosure report by selecting **Review Status** or **View/Print** for a financial disclosure report.

Review Status

1. On the Reports List page, select **View** or **Edit** beside the appropriate final disclosure report.
2. Click **Review Status.**
3. Click **View Extension** to view the Extension Type, Number of Days, New Due Date and Reason display in the Extensions area, if an extension has been recorded.

View/Print

1. On the Reports List page, select **View** or **Edit** beside the appropriate final disclosure report.
2. Click **View Print** beside the report.
3. For OGE 450 reports, scroll to the Review Status Section of your report to view the extension information.



View or Print a Report

At any time, you can view and print your financial disclosure report. View/Print provides Filers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

Viewing a Report in FDM

1. Click **View** beside the appropriate report on the **My Reports | Reports List** page.

2. Click **View/Print**.

To view and print an OGE 450, pop-up blockers must be disabled.

3. Click **View/Print** beside the financial disclosure report. The financial disclosure report displays in a separate browser window.

The OGE 450 displays as a single web page.

OGE Form 450, 5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics

Executive Branch CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Report Year	2008
Reporting Status	Annual
Employee's Name	Lee, Brock X.
Position/Title	asdf
Grade	GS13
Agency	
Branch/Unit and Address	asdf Addr1 Addr2 City, AK, USA, 00000-0000
Work Phone	000-000-0000
E-mail Address	training_450_29@us.army.mil
Date of Appointment	
if Special Government Employee (SGE)	no
If an SGE, Mailing Address (Number, Street, City, State, ZIP Code)	

Table of Contents

Date Received by Agency	2/22/2008
Employee Signature	eSigned in FDM by: Lee, Brock X. User ID: ☑ 2/22/2008

Part I: Non-Investment Income

	Source of Income	Type of Income	Recipient
1	Kroll Inc. Retirement Fund, New York, NY, USA	Pension Plan Payments (other than Federal Government)	Self

Part I: Assets

	Asset Name	Type of Asset	Owner	No Longer Held
1	Beach Rental, Mateo, NC, USA	Real Estate	Spouse	
2	Met Life Insurance Policy	Life Insurance (not term)	Self	
3	T. Rowe Price Capital Appreciati	Sector mutual fund	Self	

Part II: Liabilities

This report has no reported **Liabilities**

4. Select **File | Print** and then click **Print**.

Filing an OGE 278

The purpose of a financial disclosure report is to assist employees and their agencies in avoiding conflicts between official duties and private interests and affiliations. The primary use of the information on the form is for review by Government officials of your agency, to identify potential conflicts of interest.

Filing Process Flow

The process for creating an OGE 278 includes the following tasks:

> Your local POC or legal office can register you as a Filer in FDM

> Once a Filer has eSigned and submitted their report in FDM, the Filer's associated reviewer(s) may receive an e-mail containing a request to review a Filer's financial disclosure report in FDM.

Filing an OGE 278
◆ The Filer is registered in FDM.
◆ The Supervisor or SLC identifies filers and assigns the task of filing an OGE 278.
◆ The Filer receives an e-mail notification with their filing task assignment.
◆ The Filer logs in to FDM and verifies their profile and review chain.
◆ Filer selects to add a financial disclosure report.
◆ Filer adds Report Data information.
◆ Filer reviews report flags and corrects any errors.
◆ Filer selects the reviewers who will review the report (OGE 278 only)
◆ Filer eSigns and submits the OGE 278 for review. Note: An e-mail notification is sent to the selected reviewers indicating that they can begin their review process.

Logging In

1. Log onto your computer, open a web browser, type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.

Website Security Certificate Message

Some users may receive the message. "There is a problem with this website's security certificate."

2. Click **"Continue to this website (not recommended)."**
3. Click **Login to FDM** on the left side of the FDM Home page.

CAC Login

4. Click the **Login** button under the Login Using your CAC section.
5. Select your certificates and then click **OK**. The Review Reports page will display for Reviewers.

When you first log in to FDM, My Info page displays allowing you to review and update your contact information.

Logging In With User Name

4. Select your appropriate authenticating source from the Login Using drop-down.
5. Enter your **User Name** and **Password**. The Review Reports page will display for Reviewers.

Verifying Your Profile and Review Chain

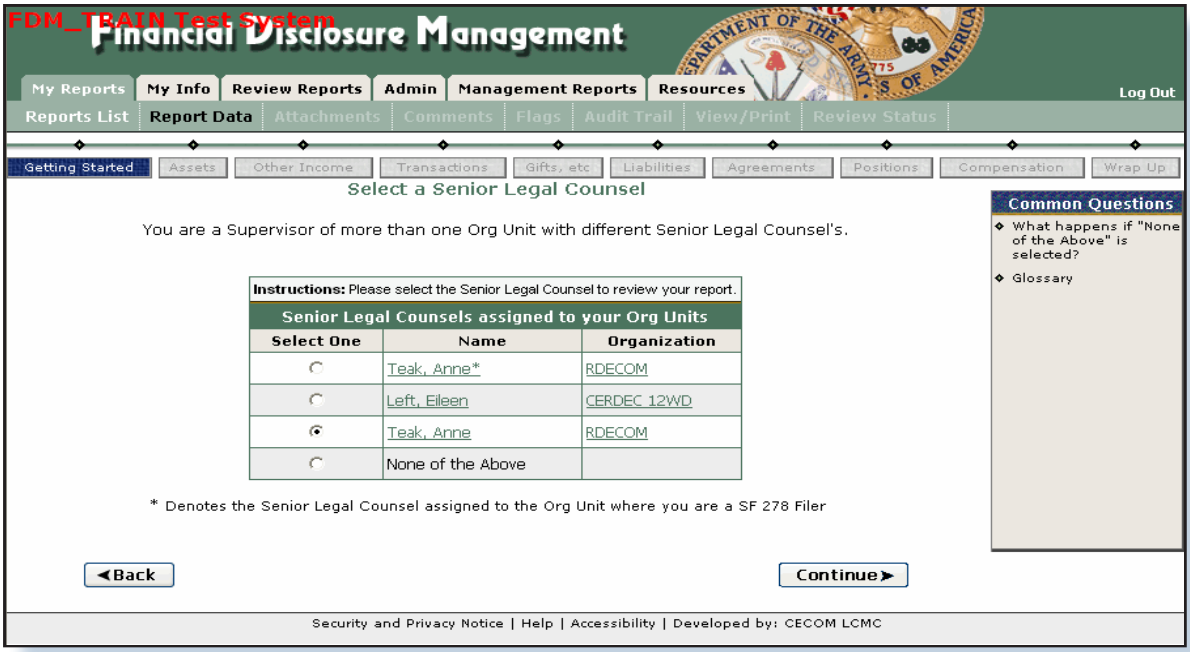
Prior to creating a financial disclosure report in FDM, it is recommended that you first verify if your Contact Information and Profile is up to date and accurate.

Click **My Info| My Profile** to view the information pertinent to your selected role:

Filers	Can view Org Unit and a listing of their assigned Filer Assistants.
Supervisor	Can view a listing of their assigned Org Units and Ethics Counselors.
Senior Legal Counsel	Can view a listing of their assigned Org Units, Senior Legal Counsel Assistants, and Ethics Counselors.
Filer Assistants	Can view their associated Filers.
POCs	Can view their associated Org Units.
Ethics Counselors	Can view their associated Senior Legal Counsels.

Important Information

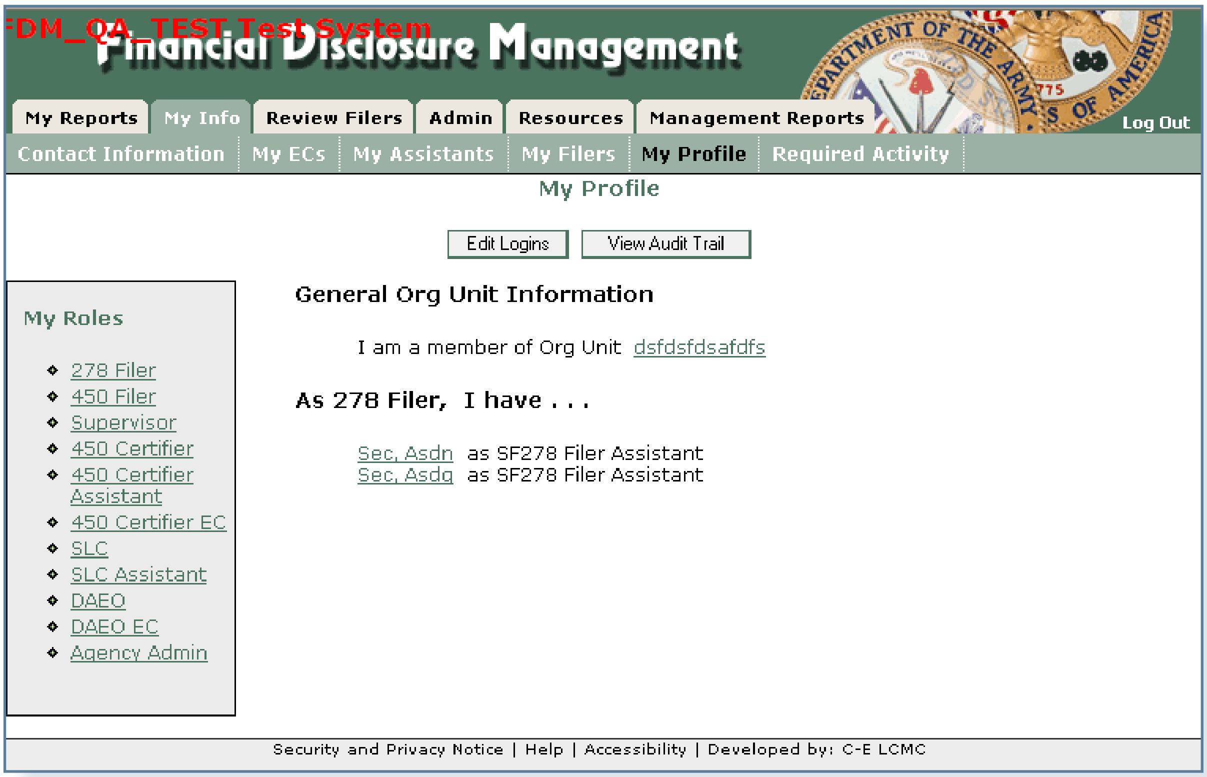
If you are a Supervisor to more than one Org Unit, and those Org Units have different SLC's, a page displays in the Getting Started section giving you the option of selecting an SLC to review your report.



If you select **None of the Above**, a message displays indicating that your current SLC has been temporarily assigned to enable you to continue with your report. A notification is also sent to your DAEO. You have the option of changing your SLC later.

To verify your FDM Profile information:

1. Select the **My Info** tab and then select **My Profile**. The My Profile page is displayed.
2. Select your FDM role from the My Roles list to view the appropriate Profile information.



Helpful Hints

Many filers find it helpful to have their information ready when they fill out the form. For example, if you have a number of individual stocks, many brokerages with online access will allow you to create a printout for the period covered by the form.

You cannot skip any section within the OGE 278 report even if you do not have any information to report. You must click through all sections being sure to select **No** if you do not have any information to disclose.

Remember to include the income and assets of your spouse as well as the assets of any dependent children.

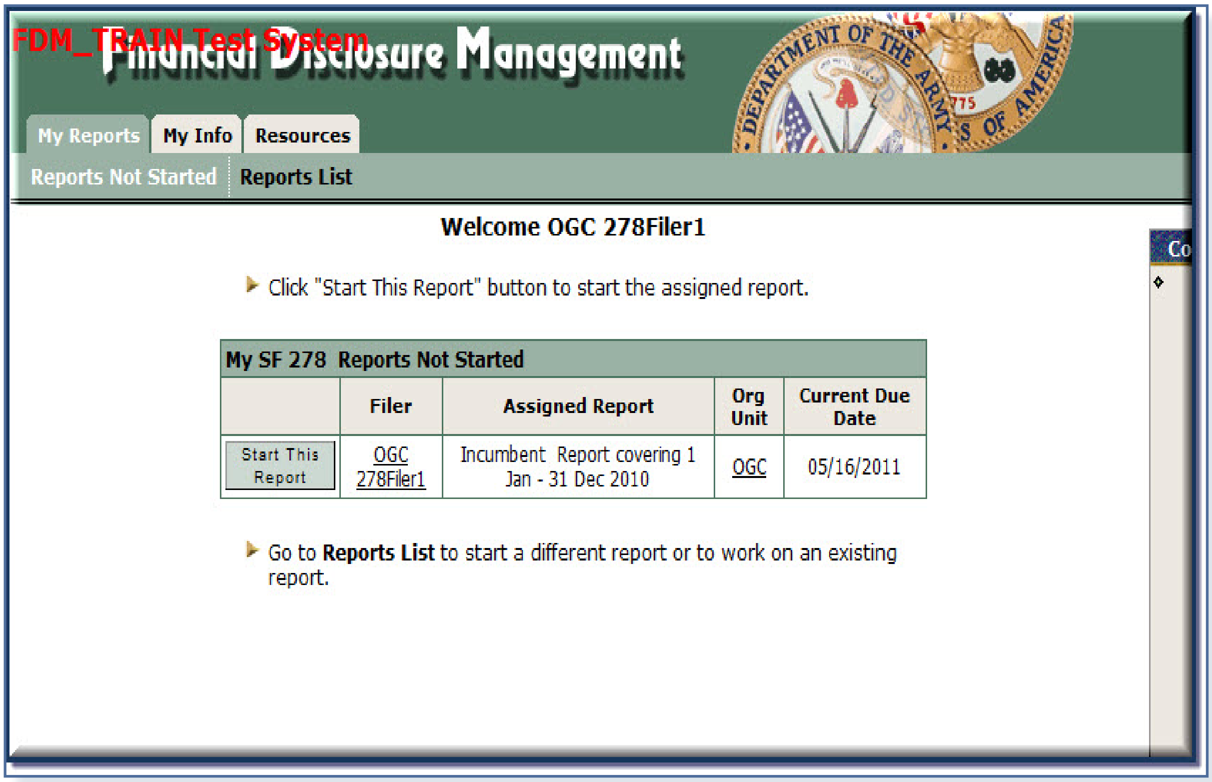
Add a New Report

My Reports is the main workspace for Filer reports in FDM. It is where you can begin a new report and edit/view existing reports.

Once you have verified your profile information and review chain in FDM, you can begin creating your financial disclosure report.

Reports Not Started

1. Click **My Reports**. The Reports Not Started page is displayed if you have been assigned a report to create in FDM. .



2. Click **Start This Report**.

Filer Assistants manage a Filer's Reports list from the Assist Filers tab.

Reports List

FDM Filers can begin their reports ahead of being assigned the task by clicking the Reports List tab and then **Add New Report**.

OGE 278 FDM Getting Started Screens

The following OGE 278 screens vary depending upon the Reporting Status you selected.

- Incumbent filers select the year covered by this report.
- New Entrant filers select if a Reserve Component General Officer and then enter the appointment date.
- Termination filers enter their Termination Date.
- A filer who is also a supervisor to more than one org unit in FDM must select the appropriate Senior Legal Counsel to review their report.

Getting Started

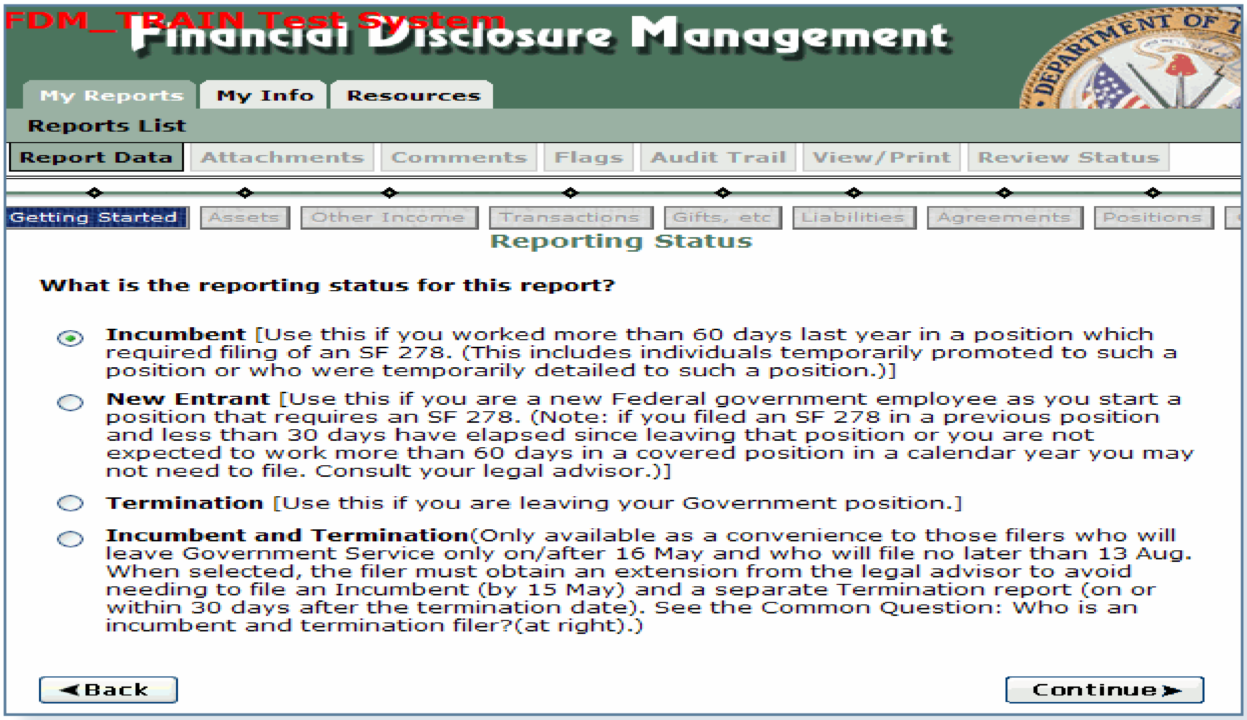
Before drafting your disclosure report, it is a good idea to have the following items on hand.

- A copy of your previous OGE 278 (if you have filed before)
- Electronic version of your job description (attach to OGE 278)
- Tax return
- Brokerage and/or mutual fund statements
- Bank, credit union, or any other financial institutions statements
- Rental agreements
- Any agreements or arrangements from past, current or future employers
- Mortgage statement (if a rental)
- Credit card and any other loan statements

3. On the Getting organized page select if you are an Special Government Employee and your Filer Category.

4. When ready, click **Continue.** The Reporting Status screen displays a selection of report types.

Reporting Status



4. Select your Filer Reporting Status and click **Continue**.

Field	Description
Incumbent	Select **Incumbent** if you filed a report in the previous year and are still in the same position as when you filed your last disclosure report. An Incumbent report is due annually, no later than May 15th following the covered reporting calendar year. Note: If you plan to leave your position before May 15th (the due date for the Incumbent), you probably should file a Termination instead of an Incumbent report. Please consult your legal advisor.
New Entrant	Select **New Entrant** if this is the first time you are filing a disclosure report or if you have a break in service over 30 days between covered positions. The New Entrant report must be filed within 30 days of assuming a new position.
Termination	Select **Termination** if you are leaving a covered position, which required you to file an OGE 278. A Termination Disclosure Report must be filed within 30 days of leaving a covered position.
Incumbent and Termination	**Incumbent/Termination** is available as a convenience to those filers who will leave Government Service only on/after 16 May and who will file no later than 13 Aug. When selected, the filer must obtain an extension from the legal advisor to avoid needing to file an Incumbent (by 15 May) and a separate Termination report (on or within 30 days after the termination date.

- Do not select New Entrant if you have filed a report before and this is the first time you are using FDM.
- A Termination OGE 278 should cover from the end of the last reporting period to your termination date
- A combined report may be filed no earlier than the date of termination, but must be filed within 30 days of termination of employment.

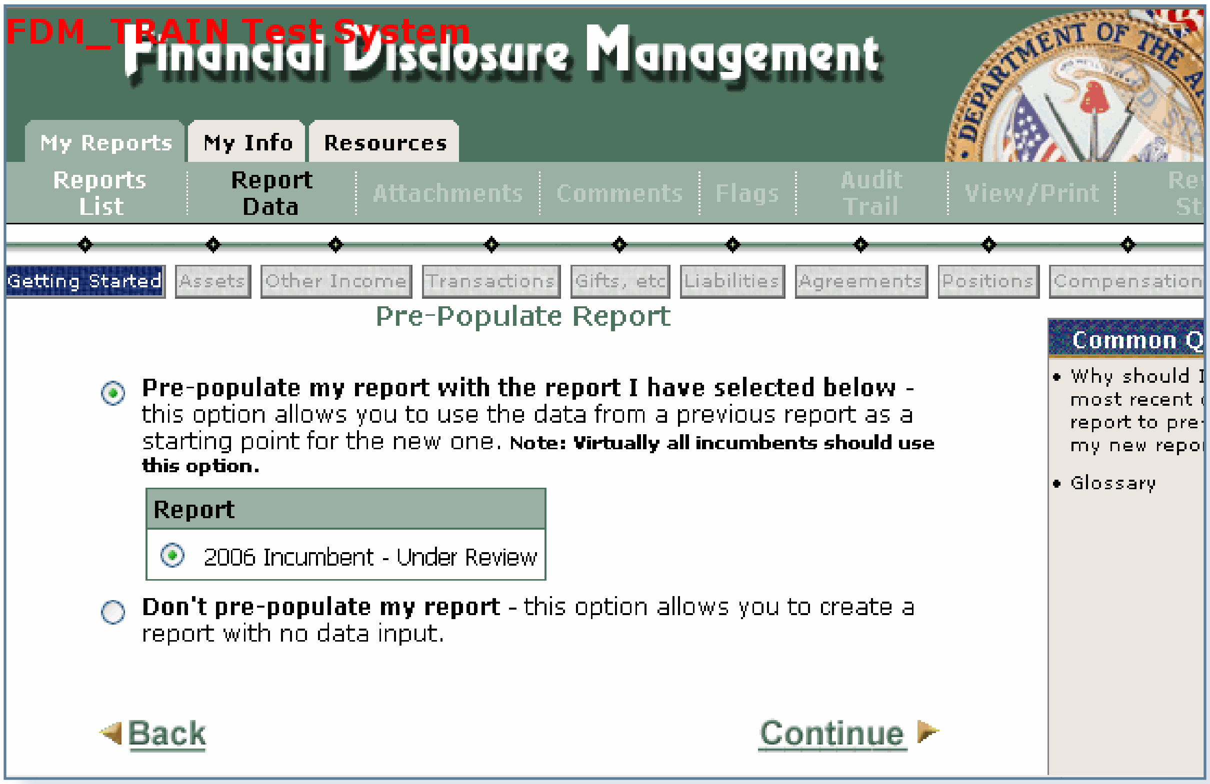
If you choose to pre-populate a report, a message may display on the Checkpoint page indicating that any Mutual Fund Assets were converted to Sector Mutual Fund.

Pre-Populate Report

FDM simplifies the maintenance of financial disclosure reports by allowing you to carry over any previously entered financial disclosure reporting information when creating new reports. Selecting to pre-populate a report, pre-fills existing report information from the selected report into your new report.

Compare a Pre-populated Report

If you pre-populate your report in FDM, you can easily compare changes/differences between last year's report and this year's on one page.



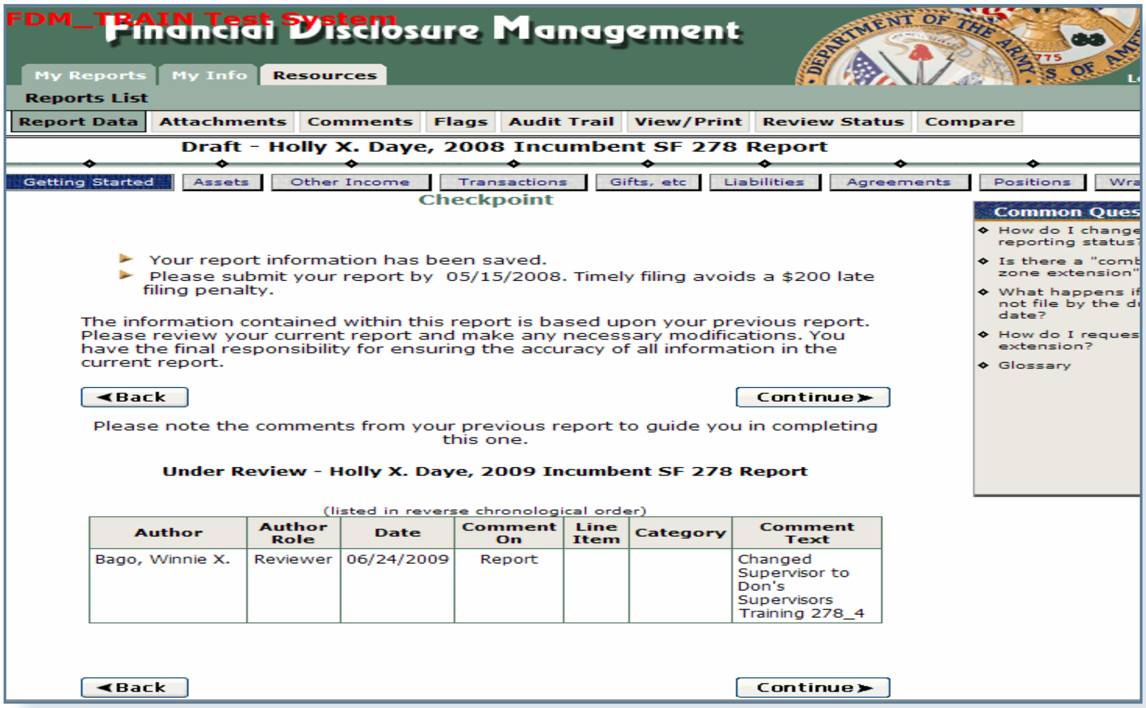
Select the most recent or current report from the pre-population list to ensure accuracy and consistency in your reporting. You can only pre-populate from reports created after 12/2/2006. Any reports created before this date will not be available to be selected for pre-population.

Once your report is pre-populated, you should review and verify the entries in the Pre-Population Results Summary List. If necessary, update where appropriate.

5. Select an existing report to pre-populate or select **Don't Pre-populate** and click **Continue**.
6. Review the Due Date, finish filling in the Contact Information pages and click **Continue**.

Checkpoint

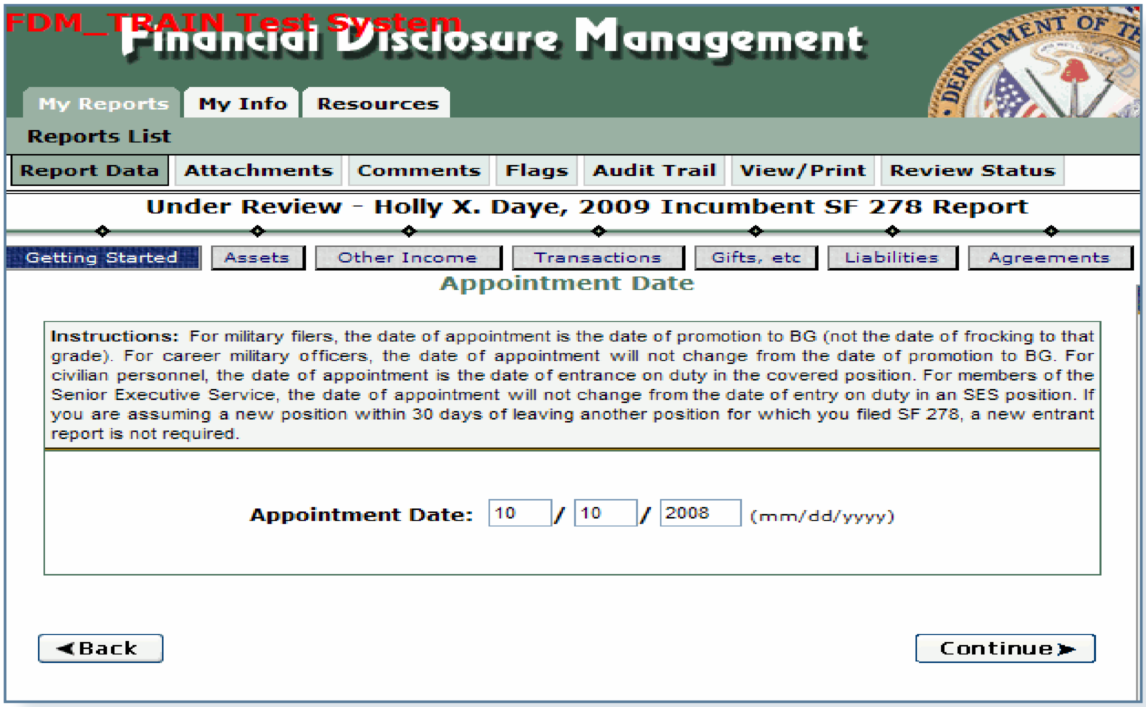
If you do not have any existing reports in FDM, the checkpoint page displays a reminder message regarding the date this report is due. If you pre-populated your report, it cautions Filers to review report information that was carried forward from an existing report.



7. Review the information on the screen and then click **Continue.** The Report has a draft Review Status.

Appointment Date

8. Edit or enter the date you started a covered position. When complete, click **Continue**.

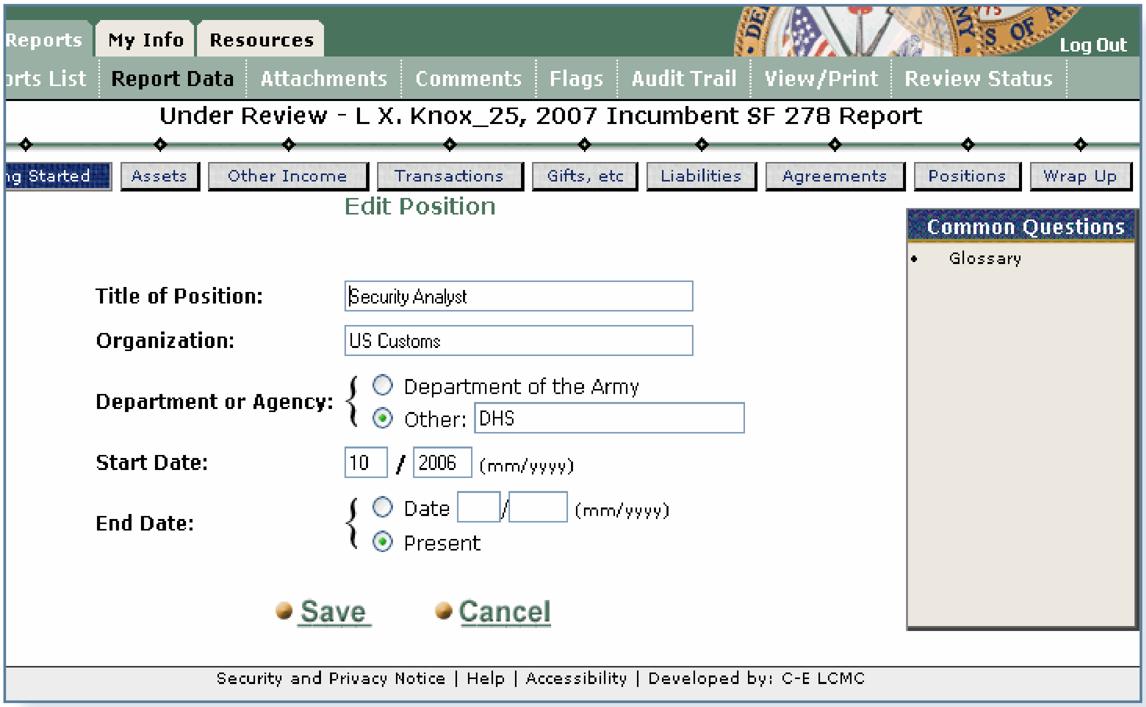


Position History

If you choose not to enter position information at this time, you will be prompted again during the Report Submission..

You must list all covered positions held with the Federal Government during the applicable reporting period.

9. Click **Add New Position** to add information about the position for which you are filing this disclosure report. Otherwise, click **Continue**.

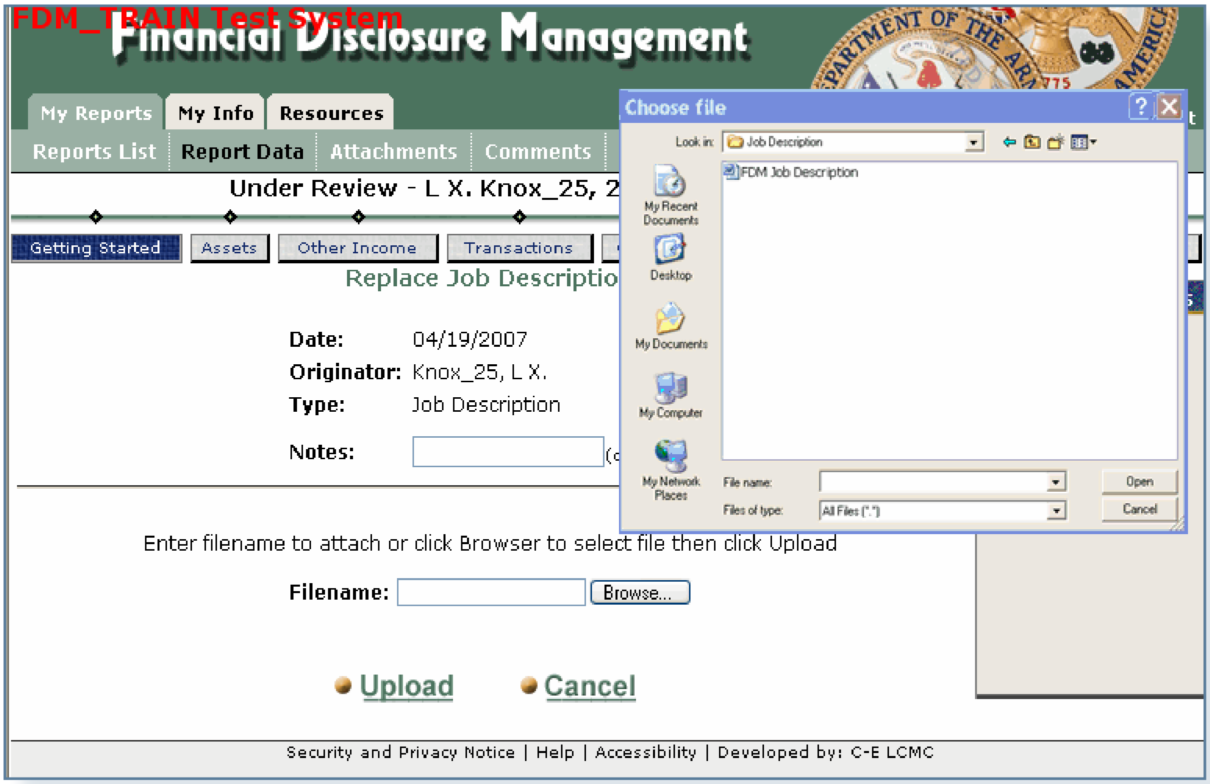


Field	Description
Title of Position	Type the title of the position for which you are filing.
Organization	Type the name of the organization that is associated with the position.
Department or Agency	Select Department of the Army or Other. If you select Other, type the name of the Department or Agency name.
Start Date	Enter the month and year you began working in this position.
End Date	Enter the month and year you stopped working in this position. Select Present if you are still currently in this position.

Attaching a Job Description

Prior to attaching a Job Description, it is recommended that you first create an MS Word document that includes your duty description and objectives from your Support Form. Your job description information helps reviewers identify potential conflicts of interest between your reportable financial interests and job duties.

10. Click **Add Job Description** to upload a Job Description if necessary.



11. Type a brief description of your file in the Notes field.

12. Click **Browse** to locate the file you wish to upload to your financial disclosure report.

Field	Description
Notes	Type in this field to include a description of your attachment.
Filename	Click **Browse** to locate a job description file to attach to your financial disclosure report in FDM.

11. Once you have found the file, click **Upload**.

12. Click **Continue**.

Report Data

The Report Data wizard is the main area used for preparing an OGE 278 report in FDM. Information in the Report Data sections relates to the Filer, spouse and dependent children.

You must click through all sections of the OGE 278 being sure to select **No** if you do not have any information to disclose for that section.

The process for entering report data is the same no matter what type of information you need to report. If the report has been pre-populated, it is only necessary to confirm/verify the data listed in each Report Data section, make any necessary corrections/additions/ deletions and click **Continue** to proceed on to the next Report Data area.

The following Report Data sections are included in an OGE 278 financial disclosure report.

OGE 278
Assets
Other Income
Transactions - New Entrant and Nominee filers do not have to complete the Transaction section of the OGE 278 disclosure report.
Gifts - New Entrant Filers do not have to complete the Gifts section of the OGE 278 report.
Liabilities
Agreements
Positions
Compensation -Only New Entrant and Nominee filers must complete the Compensation section of the OGE 278 disclosure report.

Managing Line Items

Filers can add, edit, and delete specific line items in FDM when necessary. Reviewers and or Filers can add comments to specific line items within a financial disclosure report.

Notice, that FDM provides instructions for each section of the report at the top of each Report Data page.

The process for entering report data is the same no matter what type of information you need to report. For example, on the Assets page, you can add another asset, revise or delete an existing asset or add a comment by following the steps listed below. When complete, click **Continue**.

Field	Description
Edit Asset	Click **Edit Asset** to make any changes to an existing asset.
Delete Asset	Click **Delete Asset** if you wish to remove an asset from your report.
Add Underlying Asset	Click **Add Underlying Asset** to identify assets beneath the existing asset is a parent asset.
Add Comment	Click **Add Comment** to add comments to specific line items.

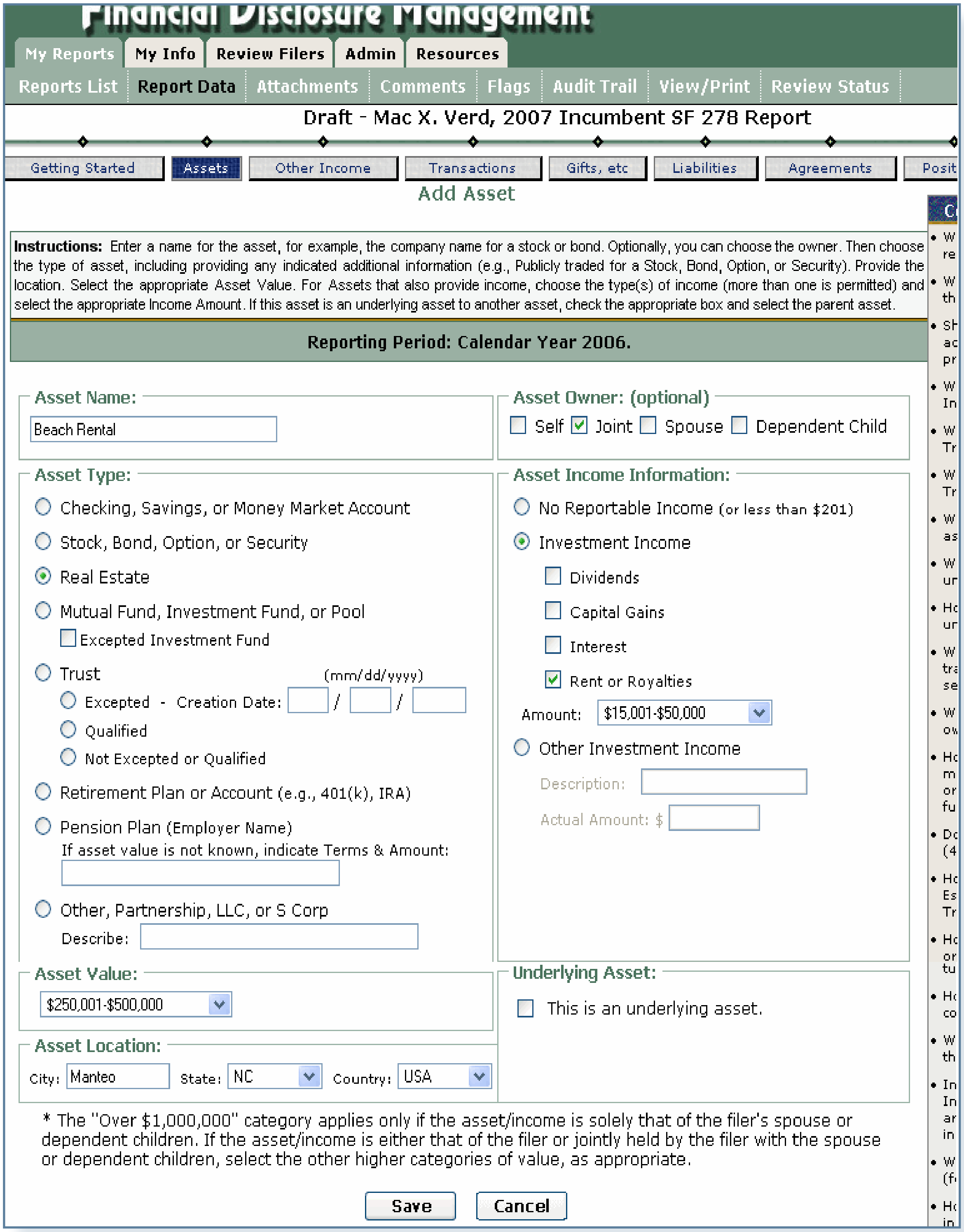
Assets

FDM includes information about the reporting period tailored to a Filer's report type, e.g., New Entrant or Annual.

For New Entrant Filers, the Assets and Investment Income section should include all interests and income items received and accrued during the period between January 1 of the preceding calendar year and ending on the date on which the report is filed.

Adding an Asset

1. Click the **Assets** section. The Assets and Investment Income page is displayed.
2. Select **Yes** to indicate you do have reportable assets and/or income and then click **Continue**. The Add Asset and Investment Income page is displayed.

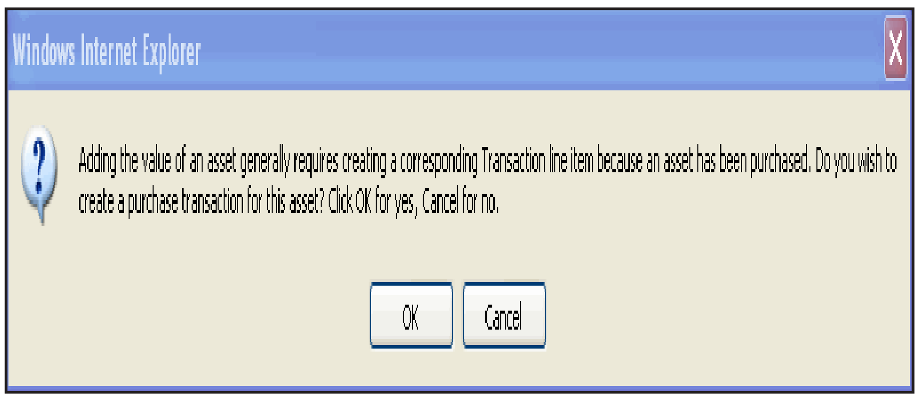


3. Enter the asset information and when complete, click **Save**. The Assets page is displayed with you new entry.

Field	Description
Asset Name:	Enter the appropriate asset name. For example, type the name of a company, financial institution, educational institution, or non-profit entity. If it is a mutual fund, you must include the full name of the investment.
Asset Type	Select the appropriate asset type and provide any additional information where necessary.
Asset Value	Select the dollar value of the asset.
Asset Location	Enter the location, city and state, of the asset.
Asset Owner	Select the person(s) responsible for owning the asset.
Asset Income Information	Select the type(s) of income and income amount.
Underlying Asset	Select if the asset is part of a pool of assets or portfolio e.g., assets within a mutual fund. Include any underlying assets that you would be required to report if held individually rather than as part of a plan.

Automatic Transactions Entered for OGE 278 Reports

New Entrant OGE 278 filers are not required to enter corresponding transactions to their assets. The Transactions tab does not display for New Entrant filers.



When working with an OGE 278, a message displays asking if you wish to create a purchase transaction for this asset.

a. Click **OK,** if you wish to have a corresponding transaction added to your report.

b. Otherwise, click **Cancel** and then **Save** to continue.

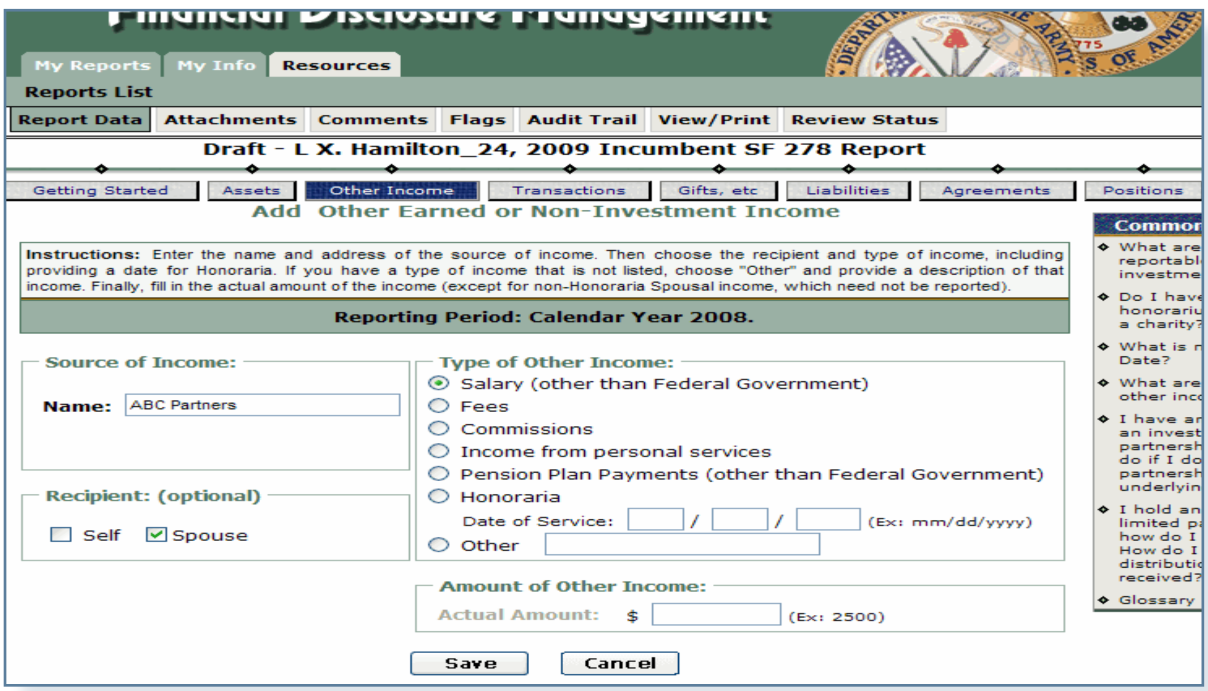
Non-Investment Income

For OGE 278 filers, report any earned and other non-investment income exceeding $200 for yourself and exceeding $1,000 for your spouse. Examples of earned and non-investment income are salary, director's fees, pension annuity, etc.

- Remember, you must click through all sections of the OGE 278 being sure to select No if you do not have any information to disclose for that section.
- Do report your spouse's

Adding Other Income

1. Click the **Other Income** section. The Other Income page is displayed.
2. Select **Yes** to indicate you do have earned income other than U.S. Government salary or retirement benefits and then click **Continue**. The Add Other Earned or Non-Investment Income page is displayed.



3. Enter the Other income information and when complete, click **Save**. The Other Income page is displayed with you new entry.

Field	Description
Source of Income:	Enter the name of Employer or Business, which is the source of fees, commissions, or honoraria. Include the city, state and country. Also, indicate if it is a publicly traded source.
Owner/Recipient	Select Self or Spouse
Type of Non-Investment Income	Select the appropriate income type.
Amount of Other Income	Enter a dollar value.

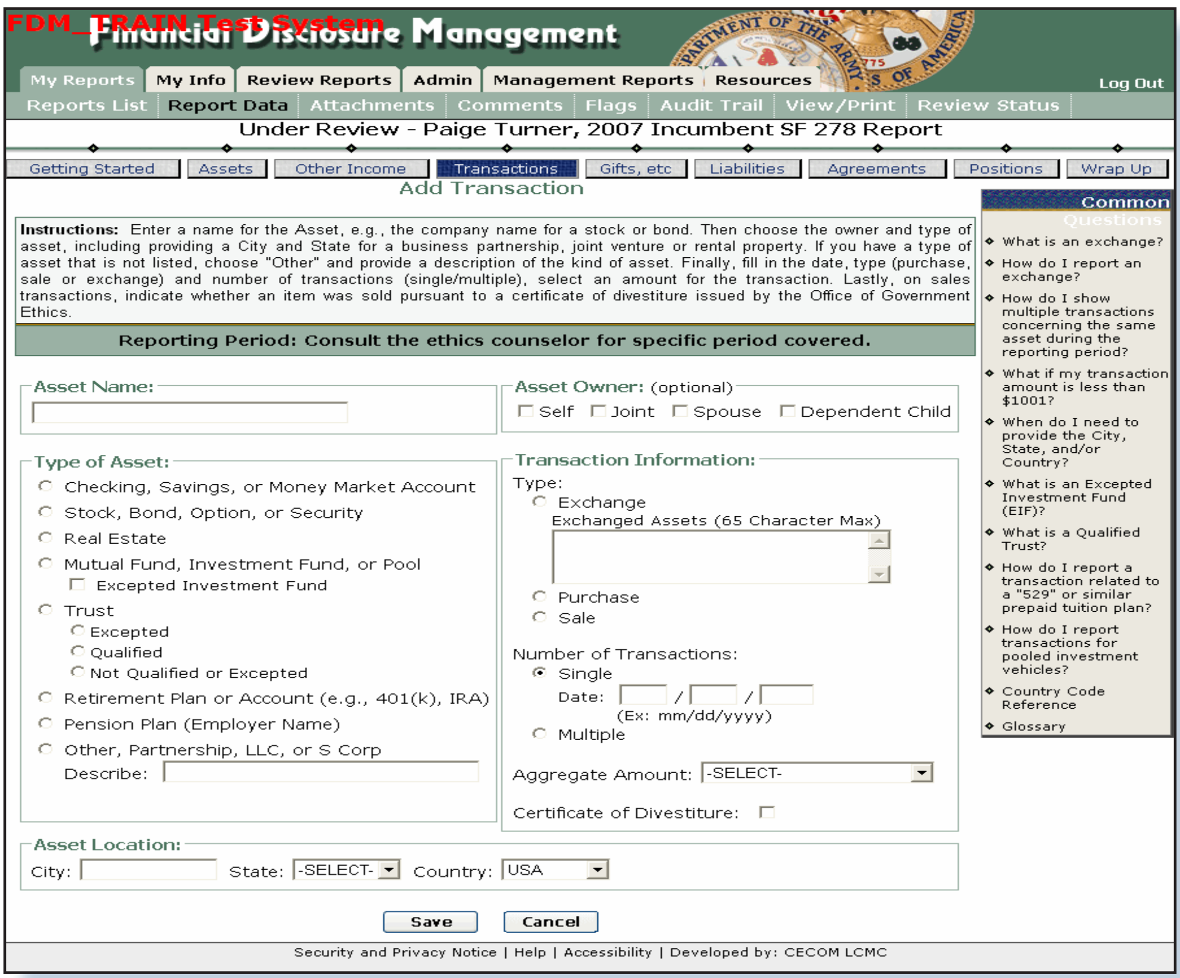
Transactions

Incumbent and Termination OGE 278 filers report transactions. Information in this report section relates to the Filer, spouse and dependent children. The Transactions section should include any purchase, sale or exchange of property (other than personal residence), stocks, bonds, commodity futures, excepted investment fund shares and other securities during the preceding year. Transactions reported are those with a market value over $1,000 at the close of the reporting period.

Remember, you must click through all sections of the OGE 278 being sure to select No if you do not have any information to disclose for that section.

Adding Transactions

1. Click the **Transaction** section. The Transactions page is displayed.
2. Select **Yes** to indicate you do have transactions to report and then click **Continue**. The Add Transaction page is displayed.
3. Enter the transaction information and when complete, click **Save**. The Transaction page is displayed with your new entry.



Field	Description
Asset Name:	Enter the appropriate asset name. For example, type the name of a company, financial institution, educational institution, or non-profit entity. If it is a mutual fund, you must include the full name of the investment.
Type of Asset	Select the appropriate asset type and provide any additional information where necessary.
Asset Location	Enter the location, city and state, of the asset.
Asset Owner	The person(s) who owns the asset.
Transaction Information:	◆ **Type -** Select Exchange, Purchase or Sale. You must include a brief description if you choose Exchange. ◆ **Number of Transactions -** Select if it is a single or multiple transactions. Include the transaction date for a single transaction. ◆ **Aggregate Amount -** Select a monetary range for the purchase, sale or exchange. ◆ **Certificate of Divestiture -** You must also indicate whether an item was sold pursuant to a certificate of divestiture issued by the Office of Government Ethics under 5 CFR Part 2634, Subpart J, to permit delayed recognition of capital gain.

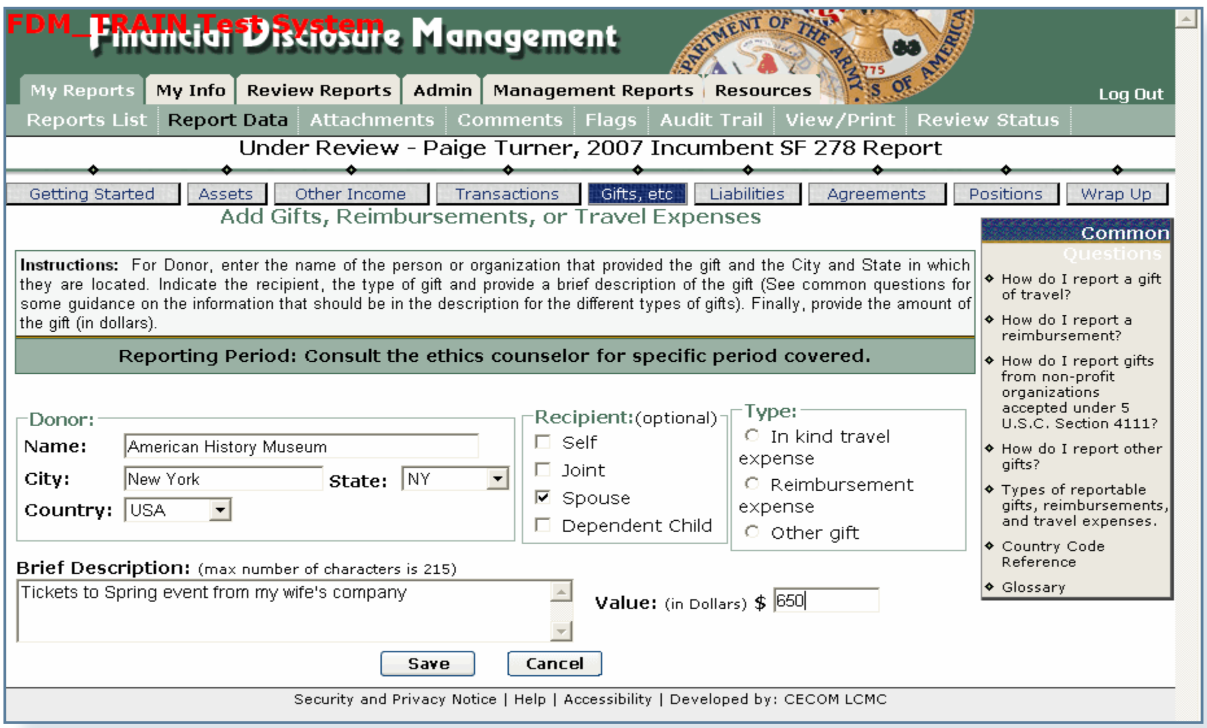
- Gifts, Reimbursements and Travel Expenses do not apply to new entrants and special Government employees (SGEs).
- Any gifts or travel reimbursements you entered on a previous report do not carry forward because they are only related to a specific reporting period.

Gifts, Reimbursements and Travel Expenses

Incumbent and Termination OGE 278 Filers add Gifts, Reimbursements and Travel Expenses. Information in this report section relates to the Filer, spouse and dependent children. The Gifts section should include gifts, in-kind travel expenses and travel related reimbursements aggregating to more than $305 from any one source other than the U.S. Government during the preceding year.

Adding Gifts, etc.

1. Click the **Gifts, etc** section. The Gifts, Reimbursements and Travel Expenses page is displayed.
2. Select **Yes** to indicate you do have Gifts to report and then click **Continue.** The Add Gifts, Reimbursements and Travel Expenses page is displayed.



3. Enter the gift information and when complete, click **Save**. The Gifts, Reimbursements and Travel Expenses page is displayed with your new entry.

Field	Description
Donor/Name	Enter the donor's name and location (city, state and country.)
Recipient	Select the appropriate recipient.
Type	Select the type of gift: In Kind Travel Expense, Reimbursement Expense, and Other Gift.
Value	Enter the value of the gift(s).
Brief Description	Include a brief description and the date of receipt. For example, Event(s) tickets for seats owned by Amer. History Museum 2/01/06 - 03/31/06.

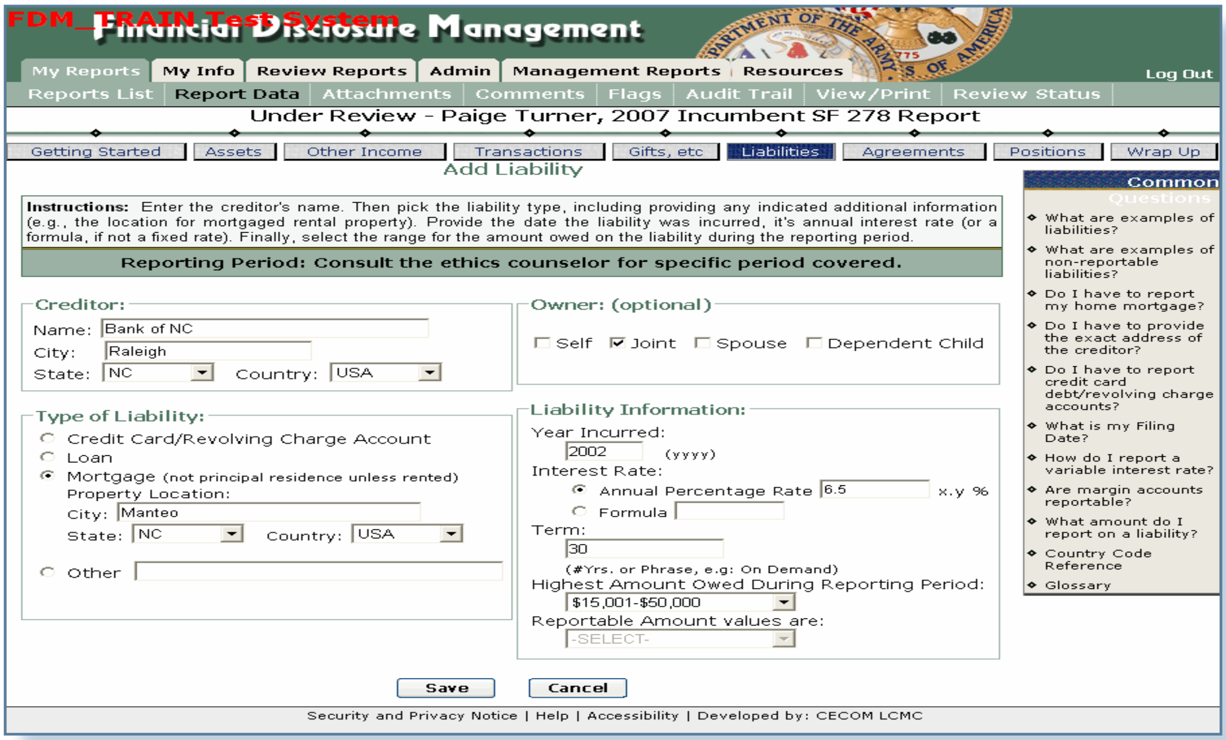
Liabilities

For you, your spouse or dependent children, report any liability over $10,000 owed to any one creditor at any time during the reporting period. Examples to include are student loans, mortgages on a rental property, business loans, and revolving charge accounts exceeding $10,000.

Remember, you must click through all sections of the OGE 278 being sure to select No if you do not have any information to disclose for that section.

Adding Liabilities

1. Click the **Liabilities** section. The Liabilities page is displayed.
2. Select **Yes** to indicate you do have liabilities to report and then click **Continue.** The Add Liability page is displayed.



3. Enter the liability information and when complete, click **Save**. The Liabilities page is displayed with you new entry.

Field	Description
Creditor	Enter the creditor's (person to whom the debt is owed) name and location (city, state and country.)
Type of Liability	Select the type of liability. If you select mortgage, you must include the location of the property.
Owner	Select the person who is responsible fore the liability.
Liability Information	Include the year incurred, interest rate, duration and highest amount owed during the reporting period.

Agreements

Filers need not report information concerning agreements or arrangements entered into by their spouse or dependent children

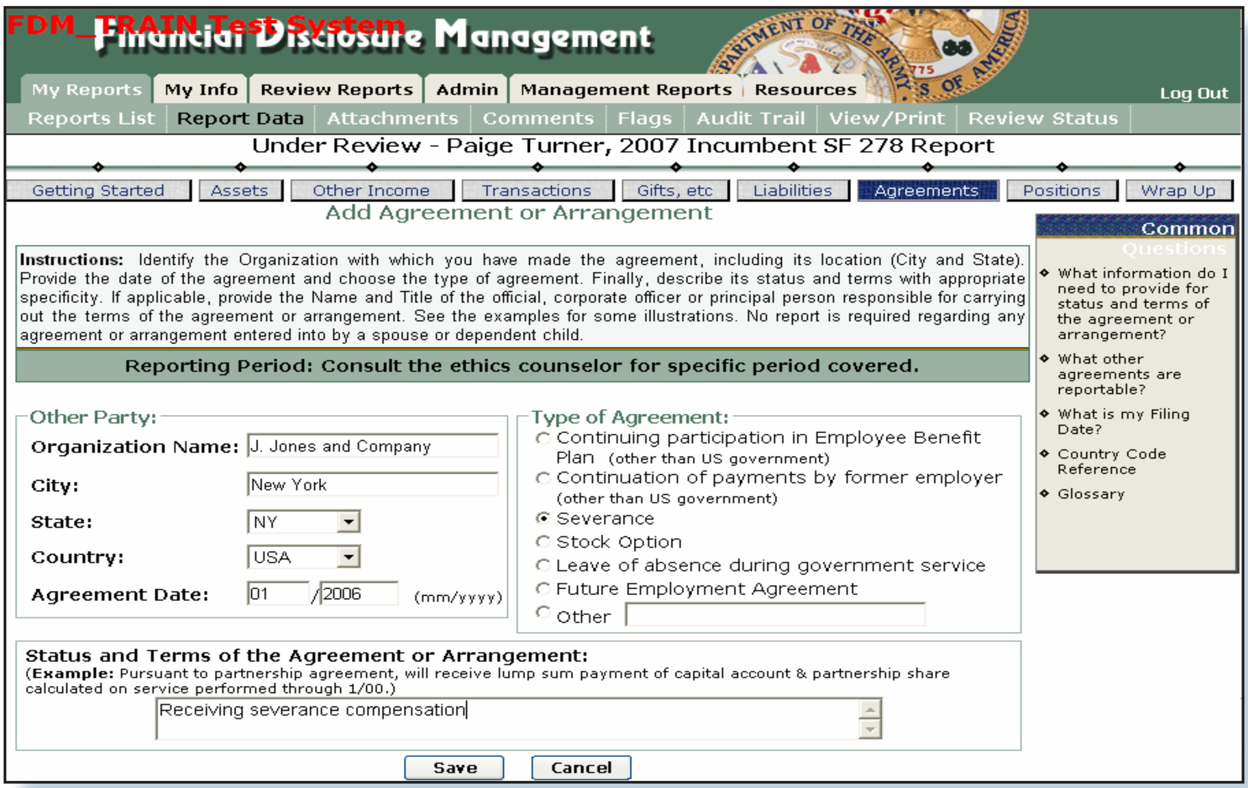
Filers must describe for themselves any agreements or arrangements held at the end of the reporting period. Describe all agreements or arrangements concerning future employment, leaves of absence, severance payments, continuing payments from a former employer, or continuing participation in employee pension, welfare, or benefit plans except those with the U.S. Government

Note: Such assets must also be reported within the assets section of your disclosure report.

Adding Agreements

1. Click the **Agreements** section. The Agreements and Arrangements page is displayed.

2. Select **Yes** to indicate you do have agreements and/or arrangements to report and then click **Continue**. The Add Agreement or Arrangement page is displayed.



3. Enter the agreement information and when complete, click **Save**. The Agreements and Arrangements page is displayed with your new entry.

Field	Description
Other Party	Enter the organization or entity's name, location (city, state and country) and the agreement date.
Type of Agreement	Select the agreement type.
Status and Terms	Describe the basic elements of the agreement or arrangement, such as terms of employment, effective dates, etc. Include the name and title of the official, corporate officer, or principal person responsible for carrying out the terms of the agreement or arrangement.

Outside Positions

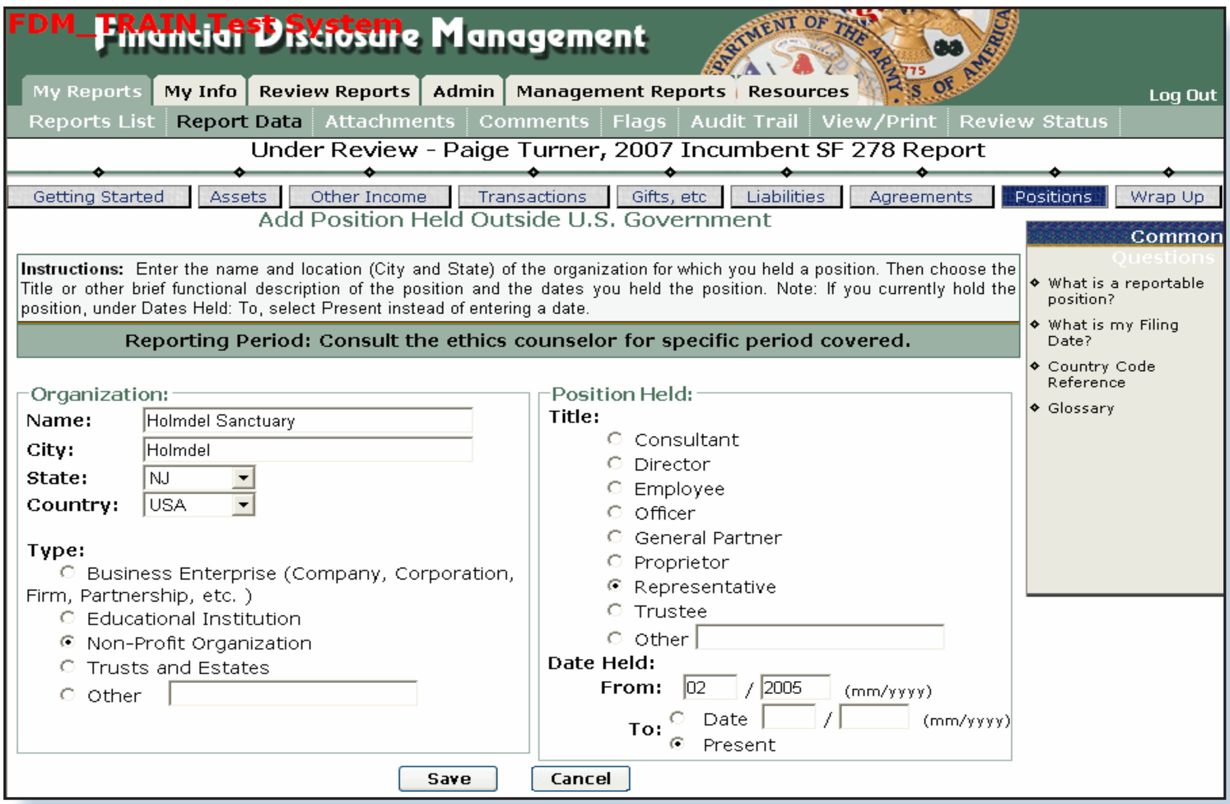
Positions with a religious, social, fraternal, or political entity and positions of a solely honorary nature do not have to be reported.

List positions you hold outside the government, whether or not you are compensated. Report positions held in any for-profit or non-profit organization at any time during the calendar year up to the date of filing. Be sure to include any partnership or trustee position. Include both paid and unpaid positions.

Adding Positions

If you receive more than $200 in compensation, you must report this income within the assets section of your disclosure report.

1. Click the **Positions** section. The Positions Held Outside of US Government page is displayed.
2. Select **Yes** to indicate you do hold any positions outside of the US Government to report and then click **Continue**. The Add Outside Position page is displayed.



3. Enter the position information and when complete, click **Save**. The Positions Held Outside of U.S. Government page is displayed with your new entry.

Field	Description
Organization	Enter the organization or entity's name, location (city, state and country) and the type of organization.
Positions Held	Select the position's title or nature of activity. If selecting Other, include a functional description of the position. Include the dates you held this position.

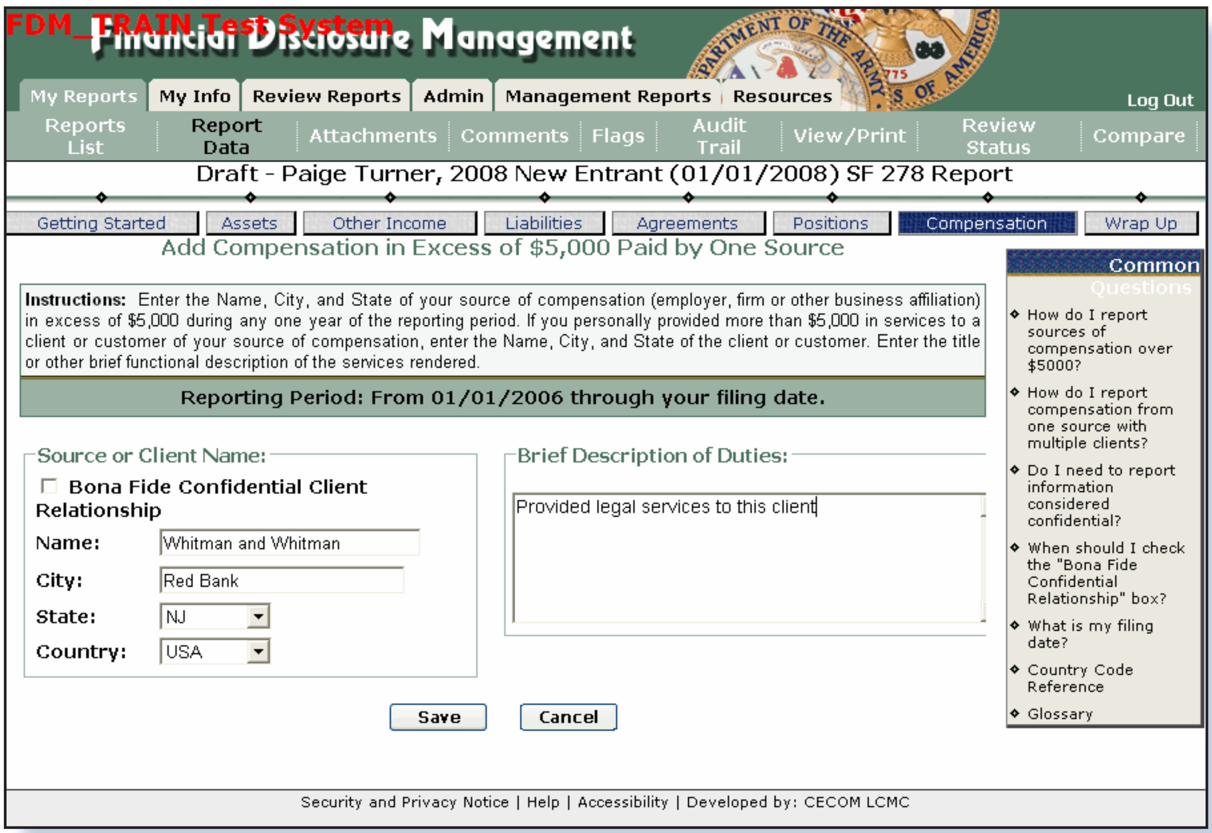
Compensation

Nominee and New entrant OGE 278 filers only add compensation. You must disclose sources of compensation in excess of $5,000 and the nature of the duties you provided. This includes not only the source of your salary or other fees, but the disclosure of clients for whom you personally provided $5,000 or more in services even though the clients' payments were made to your employer, firm or other business affiliation.

Remember, you must click through all sections of the OGE 450 being sure to select No if you do not have any information to disclose for that section.

Adding Compensation

1. Click the Compensation section. The Compensation in Excess of $5,000 Paid by One Source page is displayed.
2. Select **Yes** to indicate you have compensation in excess of $5,000 to report and then click **Continue**. The Add in Excess of $5,000 Paid by One Source page is displayed.
3. Enter the position information and when complete, click **Save**. The Positions Held Outside of US Government page is displayed with your new entry.



Field	Description
Source or Client Name	Enter the entity’s name or source of the compensation.
Brief Description of Duties	Enter a brief functional description of the services rendered.
Bona Fide Confidential Relationship	Consult your ethics advisor. In rare circumstances, a filer need not disclose a confidential relationship.

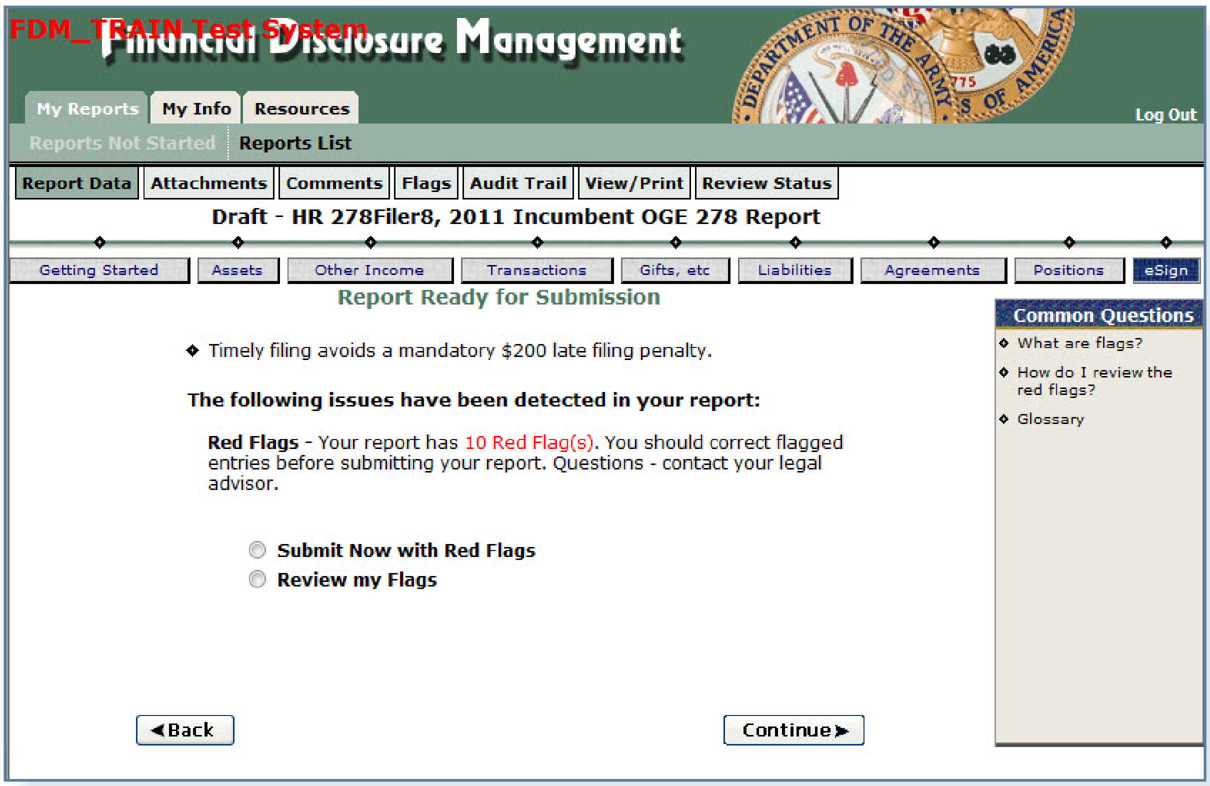
OGE 278 Filers can submit financial disclosure reports with yellow flags. A yellow flag indicates that information is missing but is not required in order to submit your report.

eSign

FDM automatically reviews your report and alerts you to any incomplete or missing prior to your submission through report flags. Review your report flags and correct any errors before submitting your report. OGE 278 Filers can submit the report with errors if you must meet a deadline.

Report Ready for Submission - Red Flags

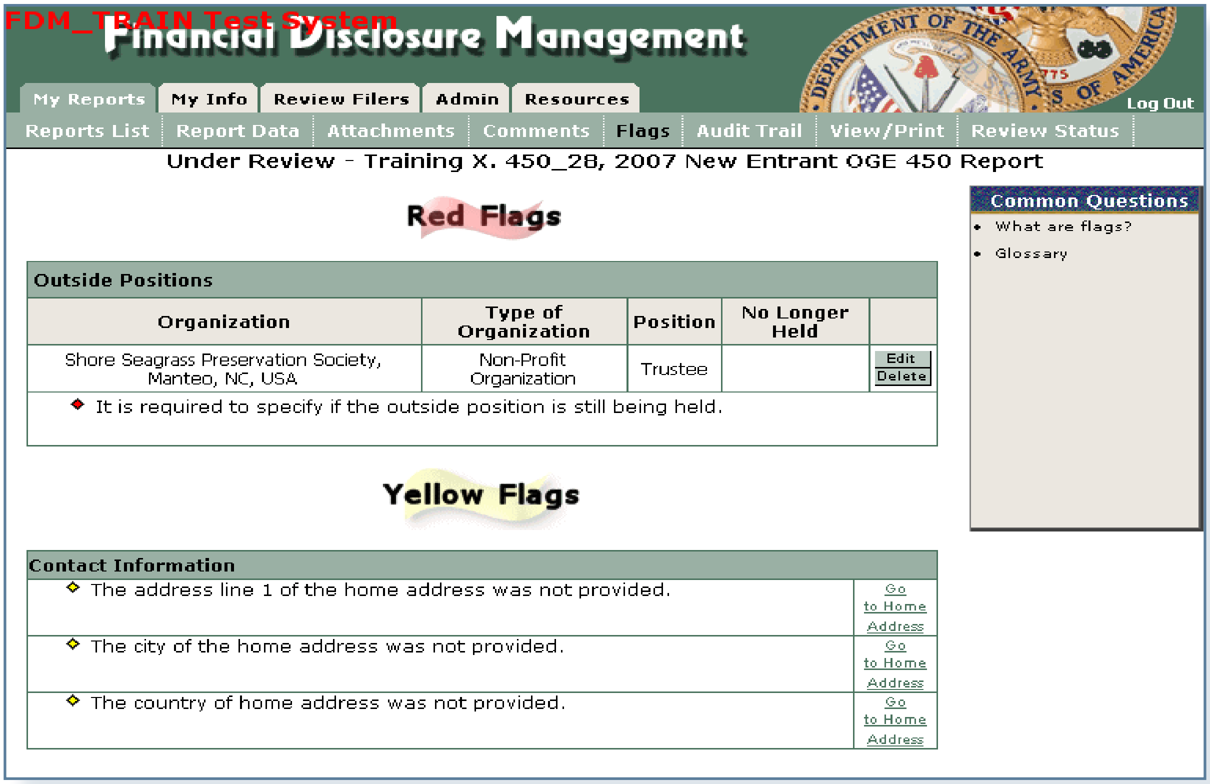
FDM automatically flags missing or incomplete information that requires further action by the Filer or a reviewer. Flags should be resolved before eSigning a report. Consult your legal advisor for assistance. Yellow flags are cautionary items drawing attention to Filers and reviewers to take a loser look.



1. Select **Review My Flags** and click **Continue** to review your report flags and correct any errors before submitting your report.

Reviewing Flags

The Flags page displays any of the Red or Yellow flags for your report.

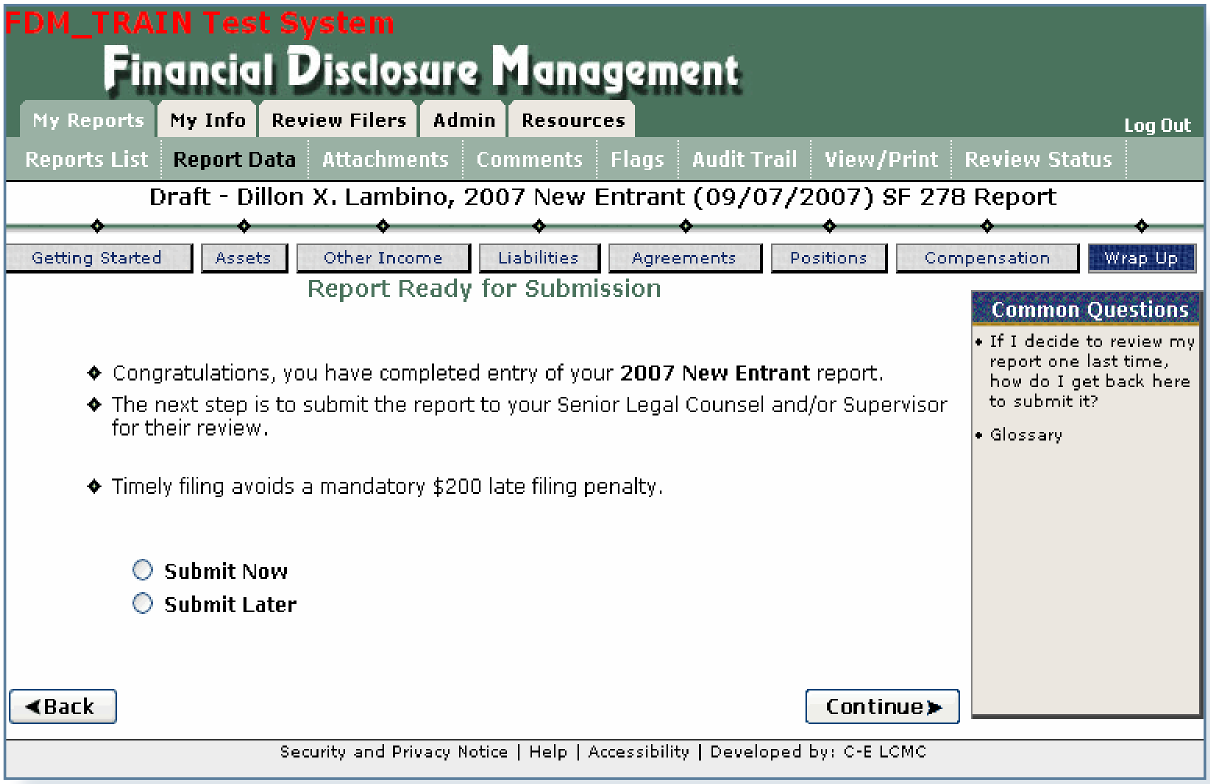


Field	Description
Red Flags	A red flag indicates required information is missing and that it should be provided before the report is submitted.
Yellow Flags	A yellow flag indicates that information is missing but is not required in order to submit your report.

Click **Flags** at any time to review a listing of your Red and Yellow flags.

1. Click **Edit** beside any flagged area to adjust that entry.
2. When complete, click **eSign**. The Report Ready for Submission page is displayed.

Report Ready for Submission



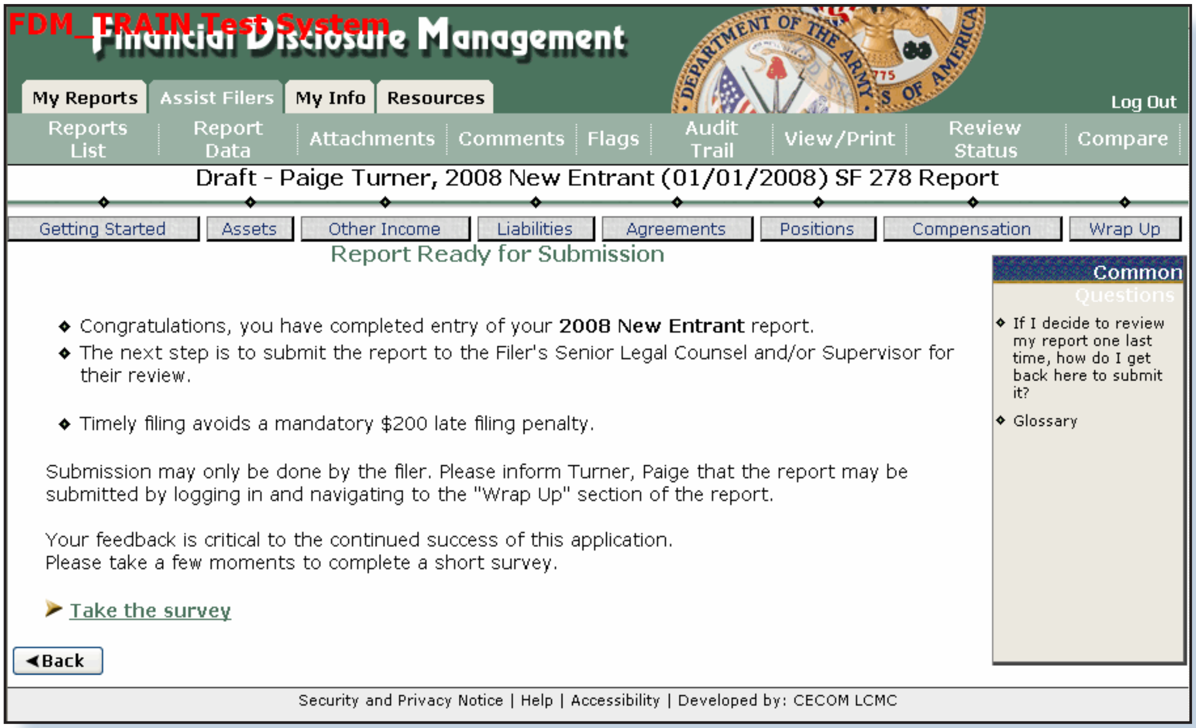
3. On the Report Ready for Submission page, select **Submit Now** or **Submit Later** and then click **Continue**.

Field	Description
Submit Now	Select **Submit Now** to eSign your report and submit for review to your Senior Legal Counsel and Supervisor.
Submit Later	Select **Submit Later** to save your report in FDM if you cannot complete your report at this time.

Only the Filer can submit a financial disclosure report in FDM.

Filer Assistant - eSign

If a Filer Assistant has prepared the financial disclosure report on behalf of a Filer, the Report is Ready for Submission page is displayed during eSign directing the Filer Assistant to inform the Filer that the report is ready to be submitted.

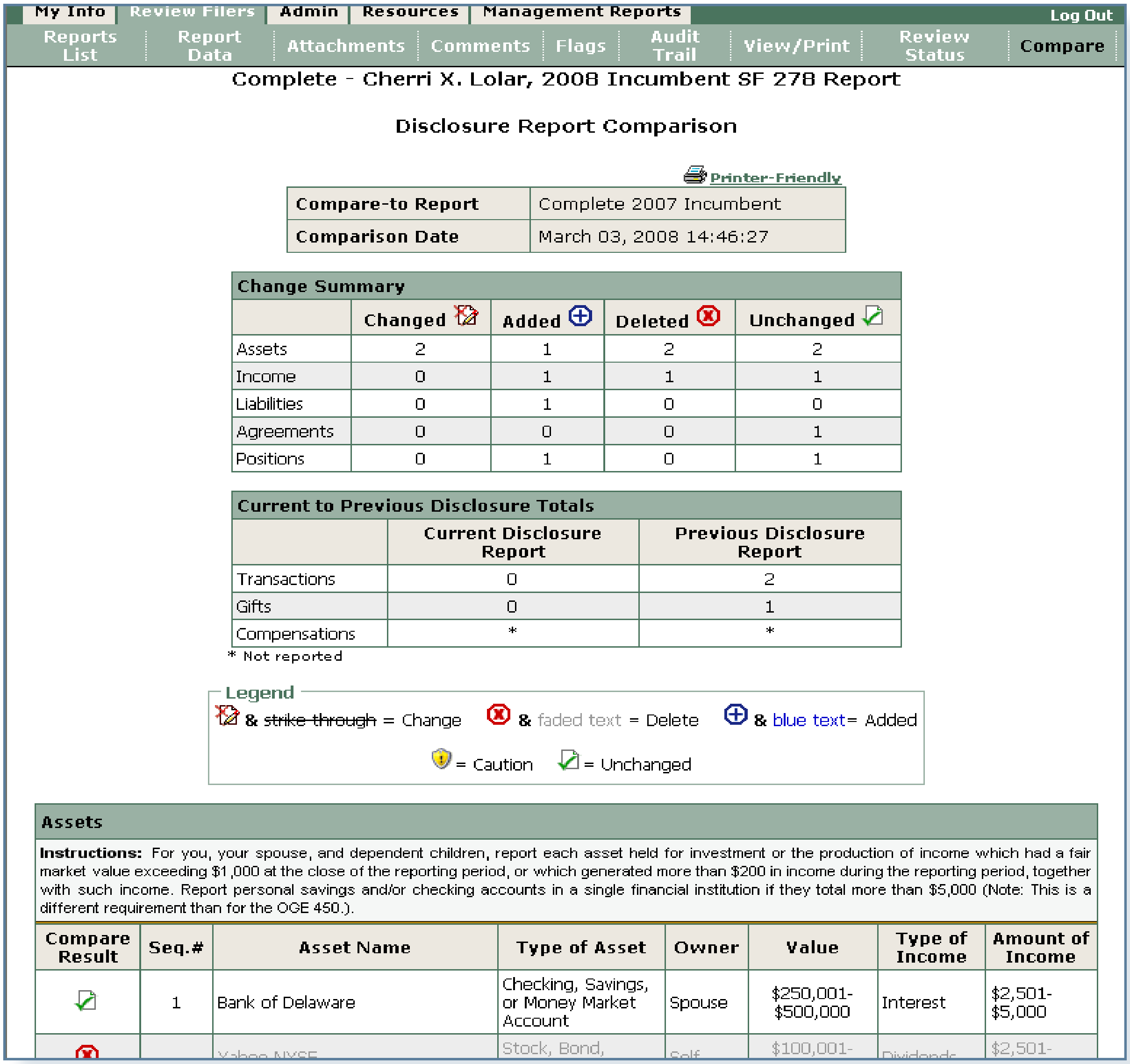


Compare a Prepopulated Report

In FDM, you can easily compare changes/differences between a prior report and the current report. The Compare feature is only available if the Filer pre-populated from a previous report.

Comparing Reports in FDM

1. Click **Compare**. The Disclosure Report Comparison page is displayed .



Compare-to Report	Complete 2007 Incumbent
Comparison Date	March 03, 2008 14:46:27

Change Summary	Changed	Added	Deleted	Unchanged
Assets	2	1	2	2
Income	0	1	1	1
Liabilities	0	1	0	0
Agreements	0	0	0	1
Positions	0	1	0	1

Current to Previous Disclosure Totals	Current Disclosure Report	Previous Disclosure Report
Transactions	0	2
Gifts	0	1
Compensations	*	*

Compare Result	Seq.#	Asset Name	Type of Asset	Owner	Value	Type of Income	Amount of Income
	1	Bank of Delaware	Checking, Savings, or Money Market Account	Spouse	$250,001-$500,000	Interest	$2,501-$5,000
		Yahoo NYSE	Stock, Bond,	Self	$100,001-	Dividends	$2,501-

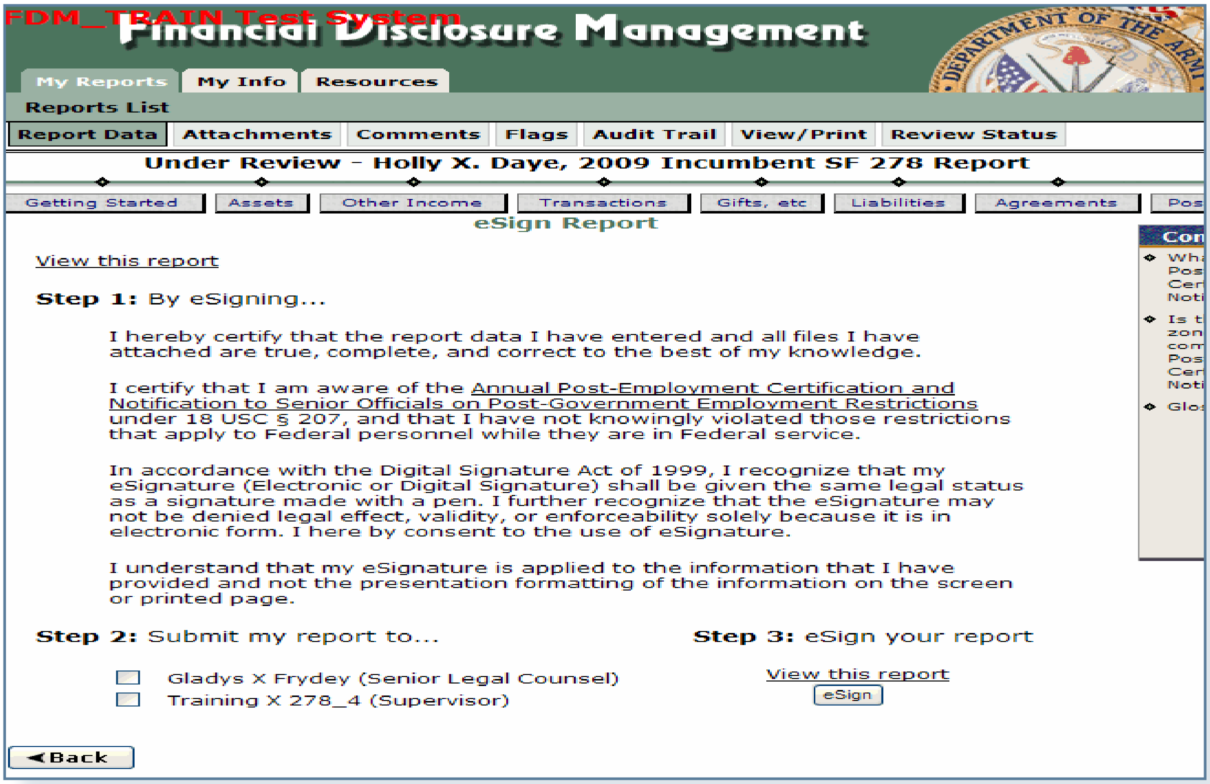
2. Review the report changes.

3. Click **Report Data** and then eSign to eSign your report.

Submitting an OGE 278 Report

eSigning Report

Before eSigning your report, review the certification information regarding the DoD Joint Ethics Regulation requirement to acknowledge the annual post-employment certification and notification about post-Government Employment restrictions. OGE 278 Filers must select a reviewer for their report as well.



Field	Description
Step 1 Certify	Review the certification passage
Step 2 Submit My Report To	Select the reviewer(s) who will review your report.
View This Report	Click this link to view and print your financial disclosure report prior to submission.
eSign	Click eSign to submit your report.

Once you have eSigned your report, FDM sends an e-mail message to your selected reviewers indicating that your report is awaiting their review.

Submit Confirmed

Once you have eSigned your financial disclosure report in FDM, a page displays confirming the submission of your report.

You are encouraged to Provide Feedback on the Submit Confirmed screen.

1. Select the **Provide Feedback** link to provide feedback regarding your experience with using FDM.

Amend a Report in FDM

Amending an OGE 278 report in FDM voids your last digital signature on the report. You must digitally sign the report again once your amendments are complete.

FDM notifies any reviewer who eSigned your report before you amended that you did amend so they may again review the report

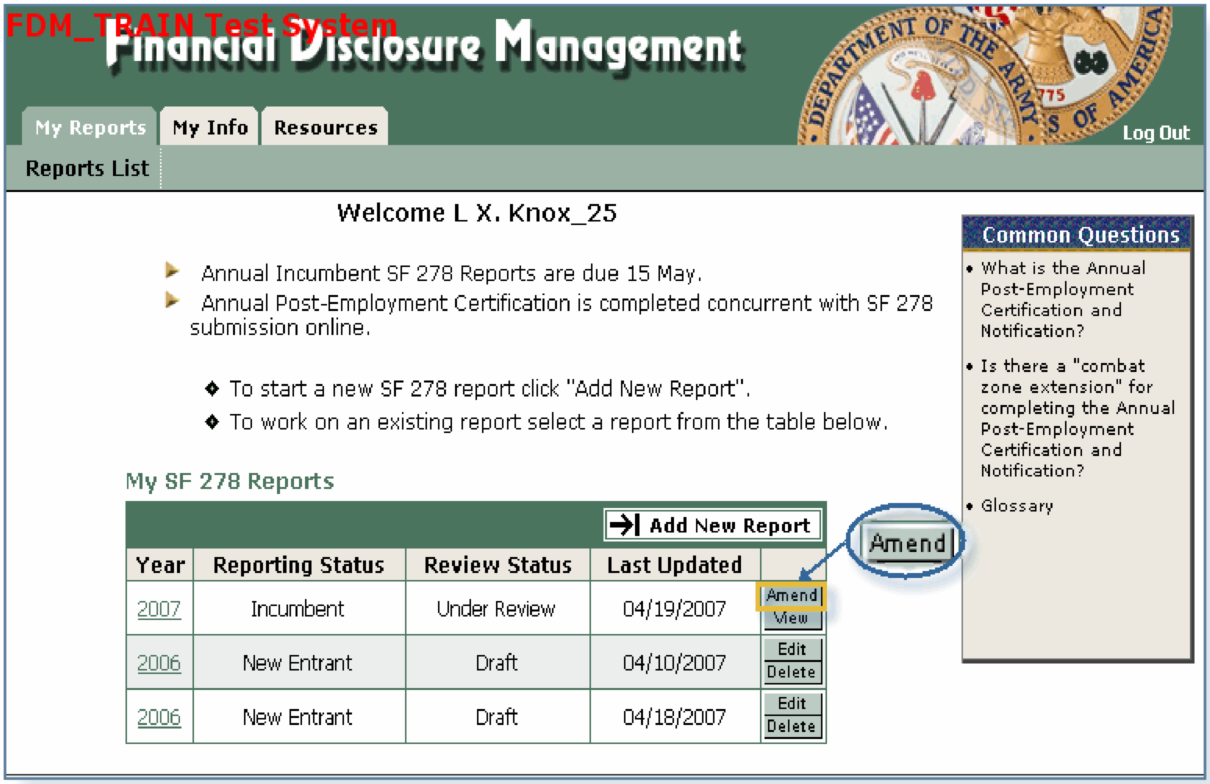
As with drafting or editing your OGE 278 report, you must go to eSign to complete the amendment process. During eSign, you must Re-certify your changes and re-sign your report.

Filing an Amended OGE 278

- The Filer logs in to FDM and verifies their profile and review chain.
- Filer selects a submitted financial disclosure report to amend.
- Filer updates the financial disclosure report.
- Filer reviews the report flags, comments and corrects any errors.
- Filer selects the reviewers who will review the report. (OGE 278 only)
- Filer eSigns and submits the OGE 278 for review.

Note: An e-mail notification is sent to the selected reviewers indicating that they can begin their review process

Amending an OGE 278 Report



1. On the Reports List Page, click **Amend** beside the appropriate OGE 278 report. Make the appropriate additions/corrections.
2. When complete, click **eSign**. The Report Ready for Submission page is displayed.
3. Submit and eSign your report.

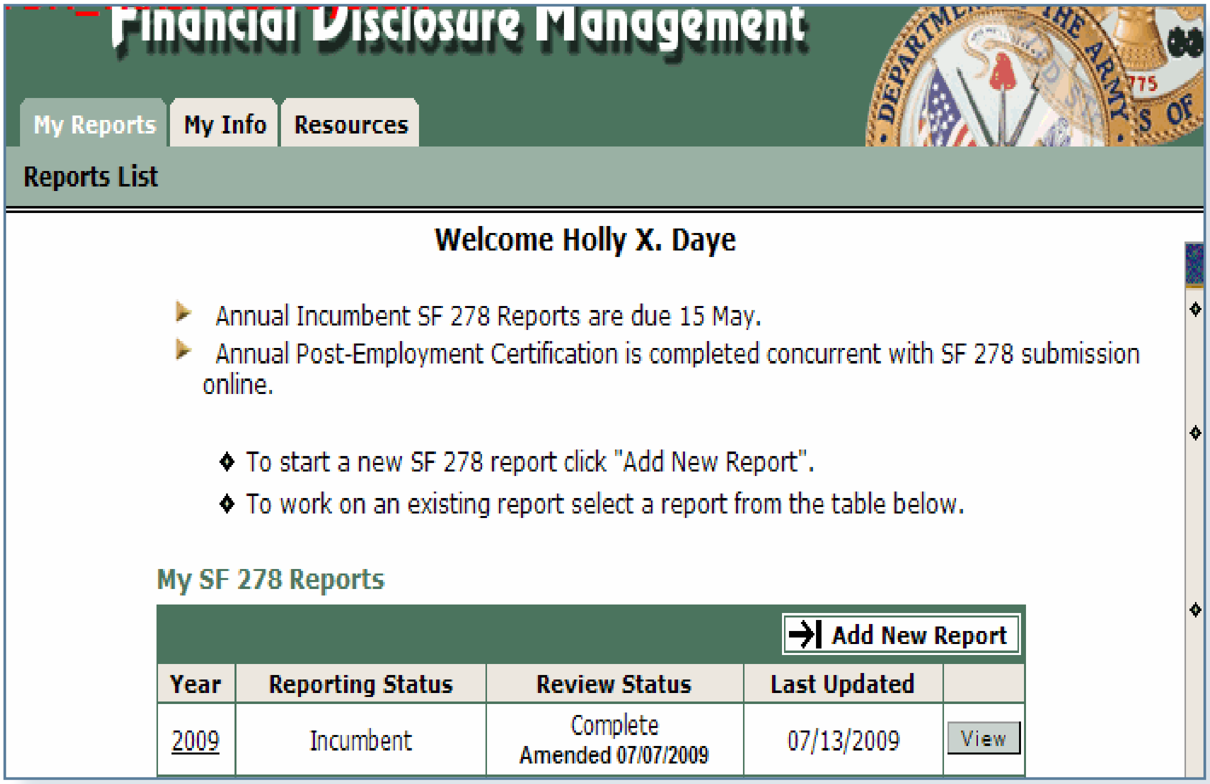
Supplemental Report Comments and Attachments

Occasionally, a filer or reviewer discovers additional information that should be stored with the report for future reference after the report review is complete. In FDM, Filers and their assistants can add this supplemental information through report comments and report attachments. Adding supplemental information to a completed report does not remove any of the report signatures or change the report's status in FDM.

Important Information

- Report Data cannot be changed or updated once a report is completed in FDM.
- Only the person who attached or added the supplemental item can replace/edit or delete it.
- Supplemental items are not part of the "report of record" and therefore do not print on the OGE 278 report.

Adding Supplemental Information



1. On the Reports List Page, click **View** beside the appropriate OGE 278 report.

At this point, you can add either additional report comments or attachment that provides additional information, a clarification, or a correction to your completed report.

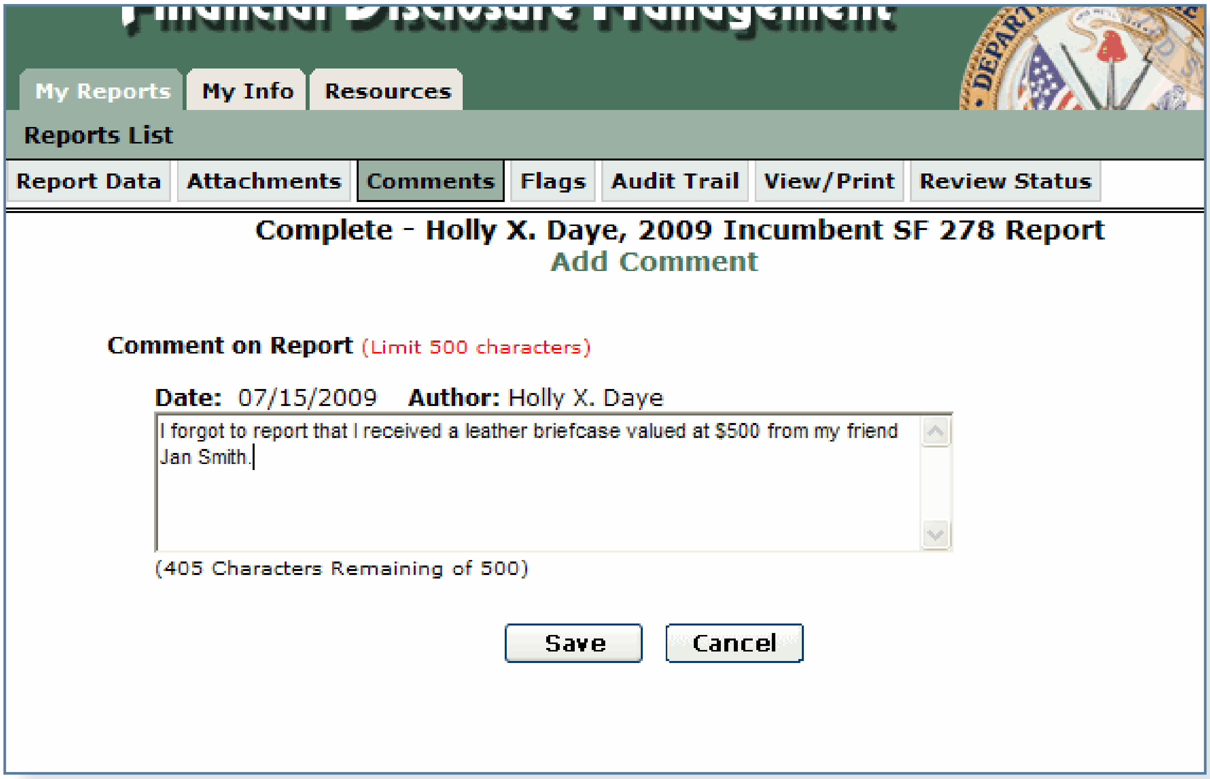
Supplemental Report Comments

2. Click the **Comments** sub-tab. The Comments page is displayed.

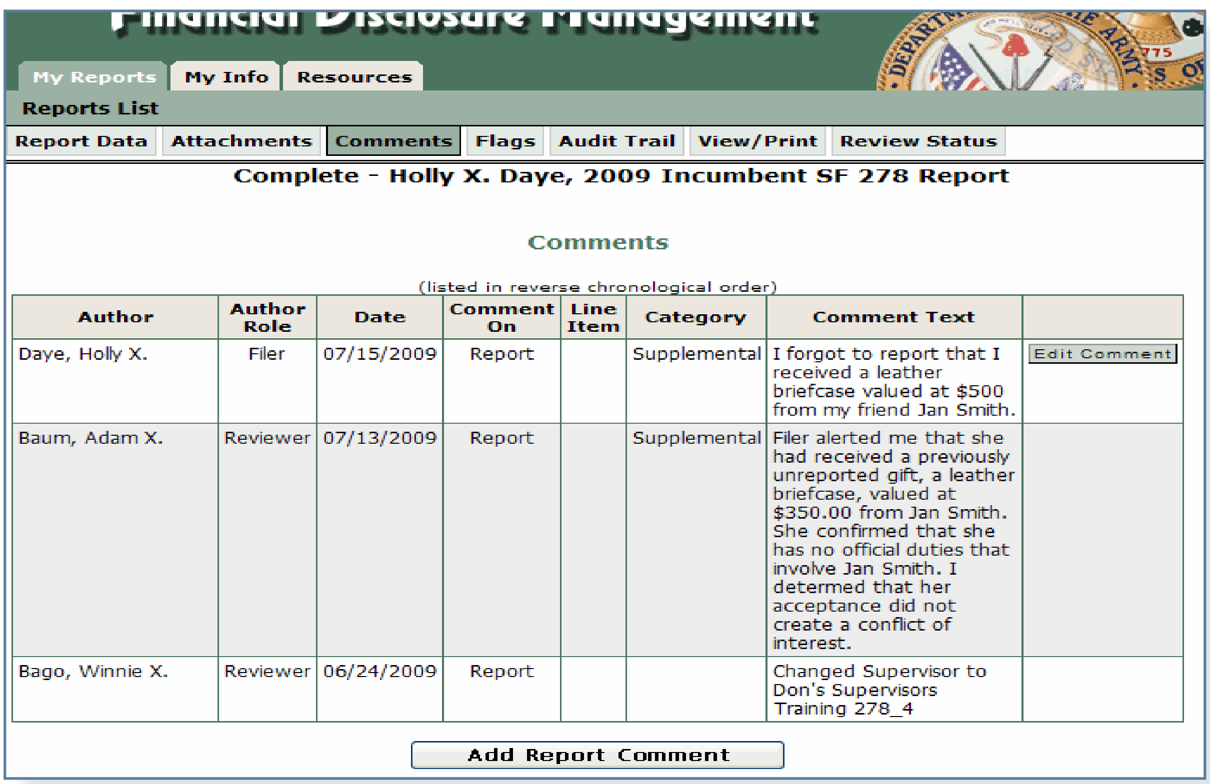
Author	Author Role	Date	Comment On	Line Item	Category	Comment Text
Baum, Adam X.	Reviewer	07/13/2009	Report		Supplemental	Filer alerted me that she had received a previously unreported gift, a leather briefcase, valued at $350.00 from Jan Smith. She confirmed that she has no official duties that involve Jan Smith. I determed that her acceptance did not create a conflict of interest.
Bago, Winnie X.	Reviewer	06/24/2009	Report			Changed Supervisor to Don's Supervisors Training 278_4

Report comments cannot be deleted.

3. Click **Add Report Comment**. The Add Comment page is displayed.



4. Type your comment and then click **Save.** The Comments page is displayed.

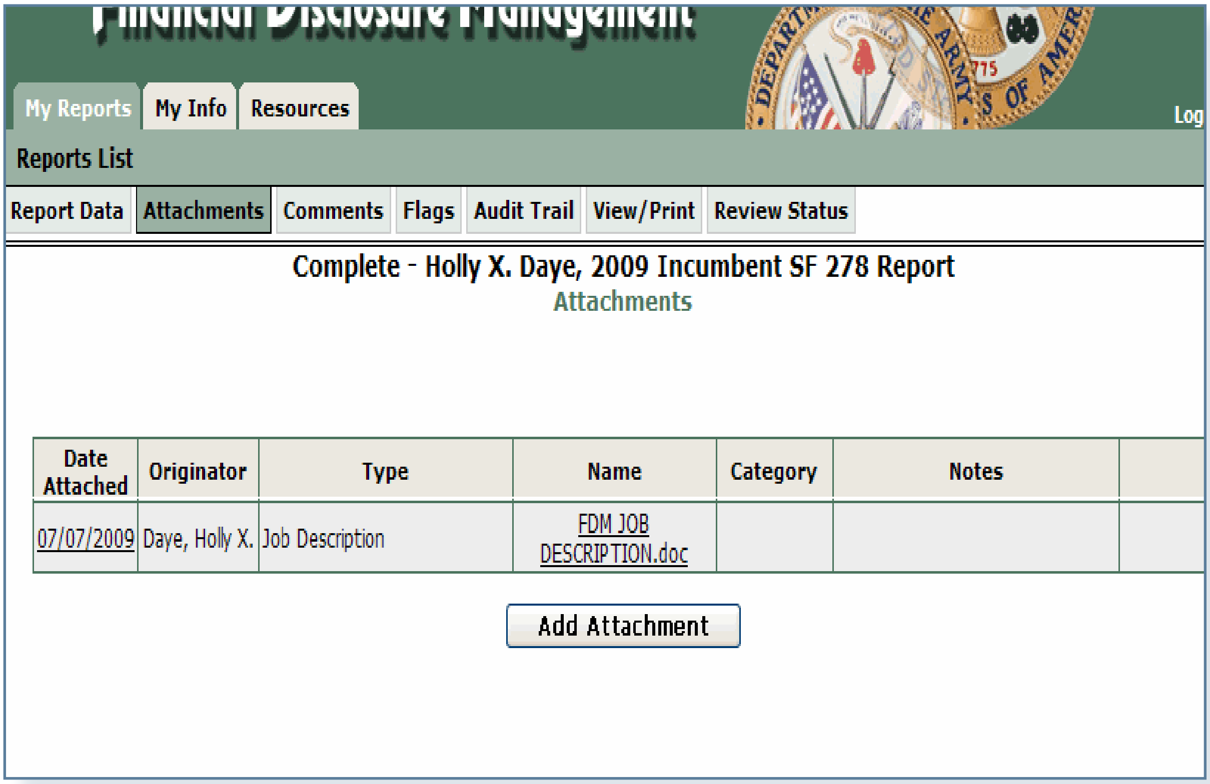


Author	Author Role	Date	Comment On	Line Item	Category	Comment Text	
Daye, Holly X.	Filer	07/15/2009	Report		Supplemental	I forgot to report that I received a leather briefcase valued at $500 from my friend Jan Smith.	Edit Comment
Baum, Adam X.	Reviewer	07/13/2009	Report		Supplemental	Filer alerted me that she had received a previously unreported gift, a leather briefcase, valued at $350.00 from Jan Smith. She confirmed that she has no official duties that involve Jan Smith. I determined that her acceptance did not create a conflict of interest.	
Bago, Winnie X.	Reviewer	06/24/2009	Report			Changed Supervisor to Don's Supervisors Training 278_4	

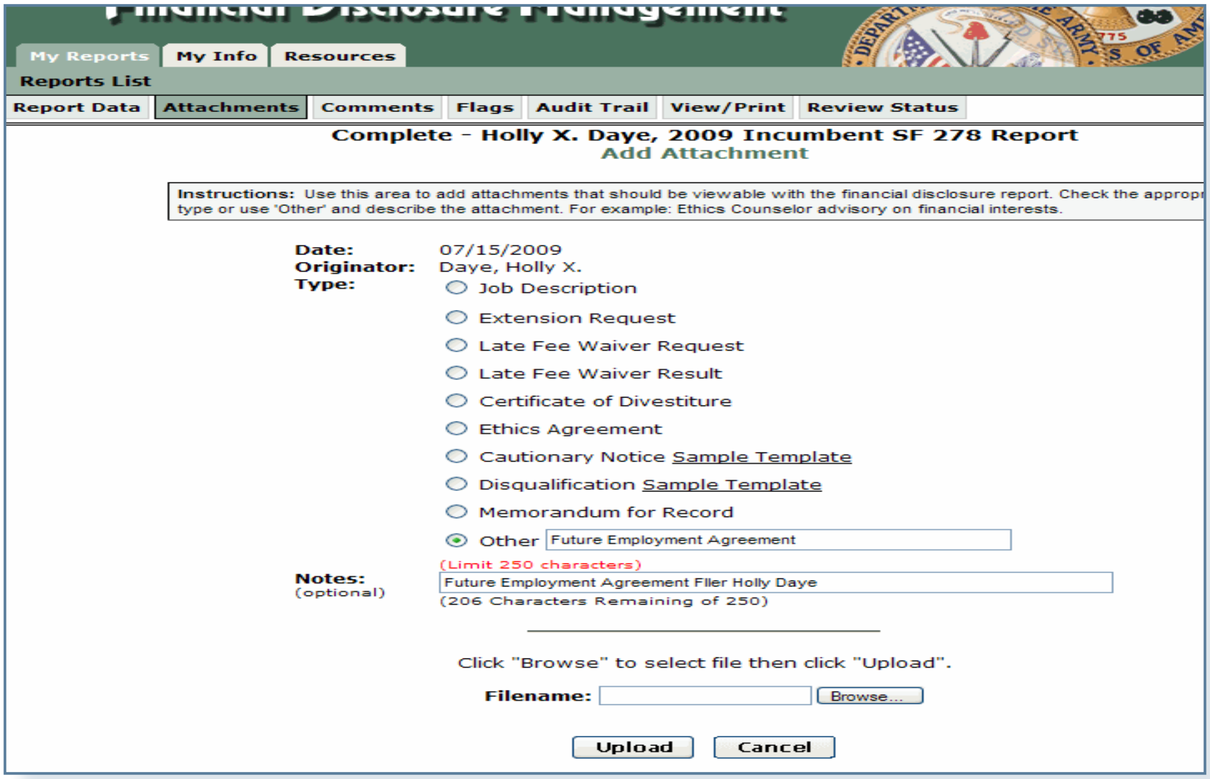
Supplemental Report Attachments

1. On the Reports List Page, click **View** beside the appropriate OGE 278 report.

2. Click the **Attachments** sub-tab. The Attachments page is displayed.



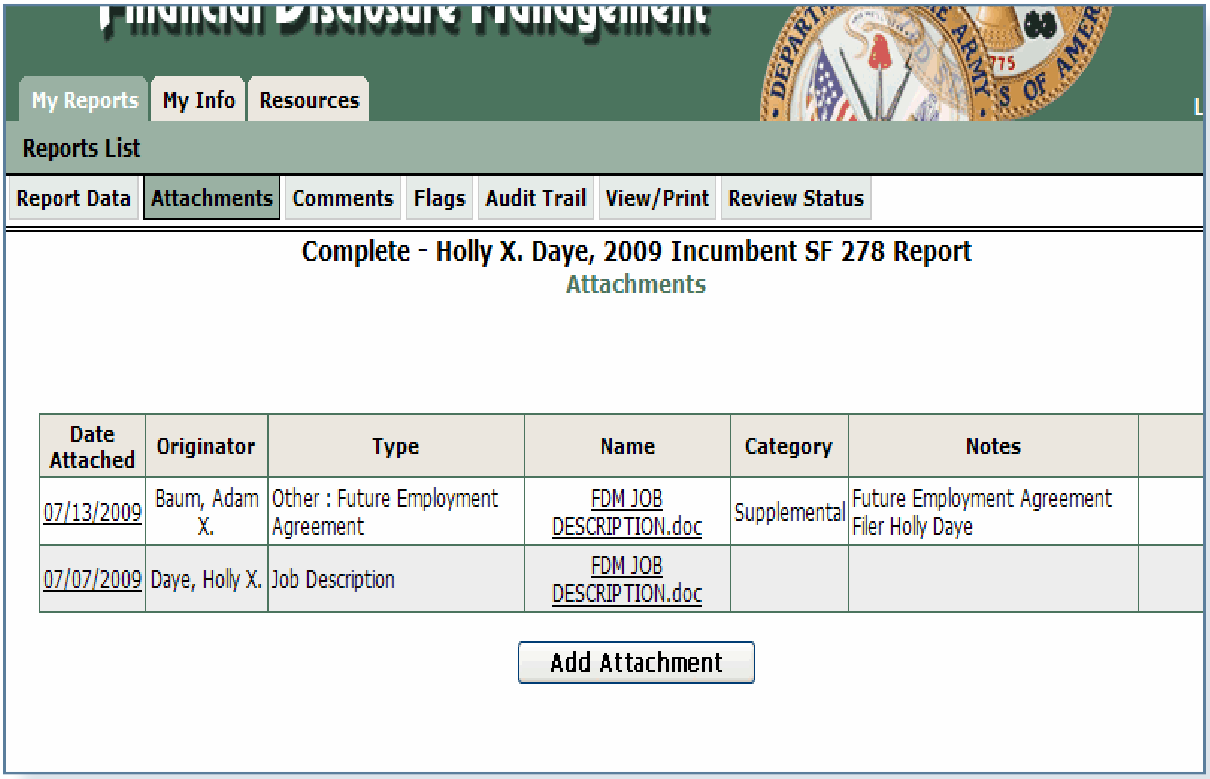
3. Click **Add Attachment**. The Add Attachment page is displayed.



4. Select the Attachment Type and then type a brief description of your file in the Notes field.

5. Click **Browse** to locate the file you wish to upload to your financial disclosure report.

6. Once you have found the file, click **Upload**. The Attachments page displays.


My Reports
My Info
Resources
Reports List
Report Data
Attachments
Comments
Flags
Audit Trail
View/Print
Review Status
Complete - Holly X. Daye, 2009 Incumbent SF 278 Report
Attachments
Date Attached
Originator
Type
Name
Category
Notes
07/13/2009
Baum, Adam X.
Other : Future Employment Agreement
FDM JOB DESCRIPTION.doc
Supplemental
Future Employment Agreement Filer Holly Daye
07/07/2009
Daye, Holly X.
Job Description
FDM JOB DESCRIPTION.doc
Add Attachment

Extension requests must be submitted outside of FDM.

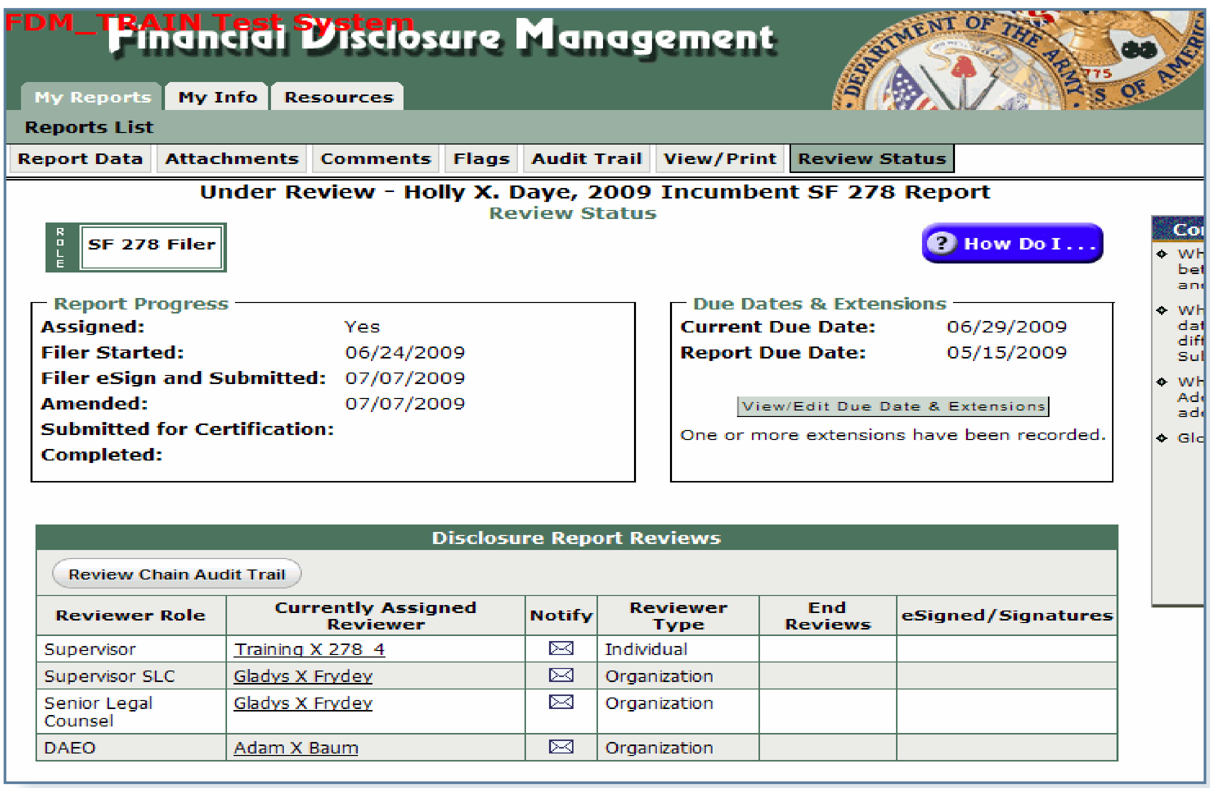
Extensions

Determining if an Extension has Been Granted

A Filer can determine if an extension has been granted for a financial disclosure report by selecting **Review Status** or **View/Print** for a financial disclosure report.

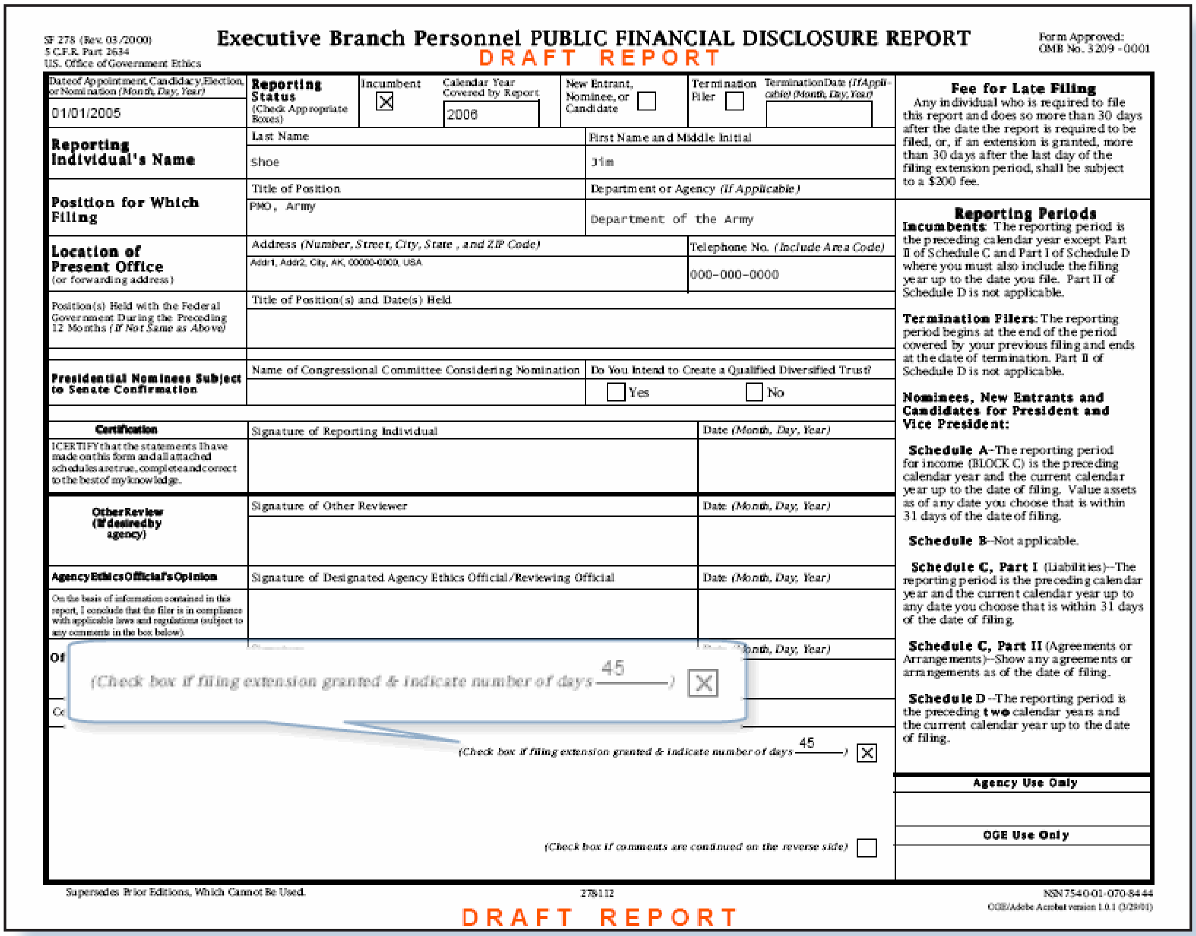
Review Status

1. On the Reports List page, select **View** or **Edit** beside the appropriate final disclosure report.
2. Click **Review Status.**
3. Click **View Extension** to view the Extension Type, Number of Days, New Due Date and Reason.



View/Print

1. On the Reports List page, select **View** or **Edit** beside the appropriate final disclosure report.
2. Click **View Print** beside the report.
3. For OGE 278 reports, scroll to the bottom of your report cover page to view the extension information.



SF 278 (Rev. 03/2000)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT
DRAFT REPORT

Form Approved: OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year) 01/01/2005

Reporting Status (Check Appropriate Boxes) — Incumbent [X] — Calendar Year Covered by Report 2006 — New Entrant, Nominee, or Candidate [ ] — Termination Filer [ ] — Termination Date (If Applicable) (Month, Day, Year)

Reporting Individual's Name — Last Name: Shoe — First Name and Middle Initial: Jim

Position for Which Filing — Title of Position: PMO, Army — Department or Agency (If Applicable): Department of the Army

Location of Present Office (or forwarding address) — Address (Number, Street, City, State, and ZIP Code): Addr1, Addr2, City, AK, 00000-0000, USA — Telephone No. (Include Area Code): 000-000-0000

Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above) — Title of Position(s) and Date(s) Held

Presidential Nominees Subject to Senate Confirmation — Name of Congressional Committee Considering Nomination — Do You Intend to Create a Qualified Diversified Trust? [ ] Yes [ ] No

Certification — I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge. — Signature of Reporting Individual — Date (Month, Day, Year)

Other Review (If desired by agency) — Signature of Other Reviewer — Date (Month, Day, Year)

Agency Ethics Official's Opinion — On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below). — Signature of Designated Agency Ethics Official/Reviewing Official — Date (Month, Day, Year)

(Check box if filing extension granted & indicate number of days 45) [X]

(Check box if comments are continued on the reverse side) [ ]

Fee for Late Filing
Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 fee.

Reporting Periods
Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

Nominees, New Entrants and Candidates for President and Vice President:

Schedule A–The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

Schedule B–Not applicable.

Schedule C, Part I (Liabilities)–The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

Schedule C, Part II (Agreements or Arrangements)–Show any agreements or arrangements as of the date of filing.

Schedule D–The reporting period is the preceding **two** calendar years and the current calendar year up to the date of filing.

Agency Use Only

OGE Use Only

Supersedes Prior Editions, Which Cannot Be Used. 278112 NSN 7540-01-070-8444
OGE/Adobe Acrobat version 1.0.1 (3/28/01)

DRAFT REPORT

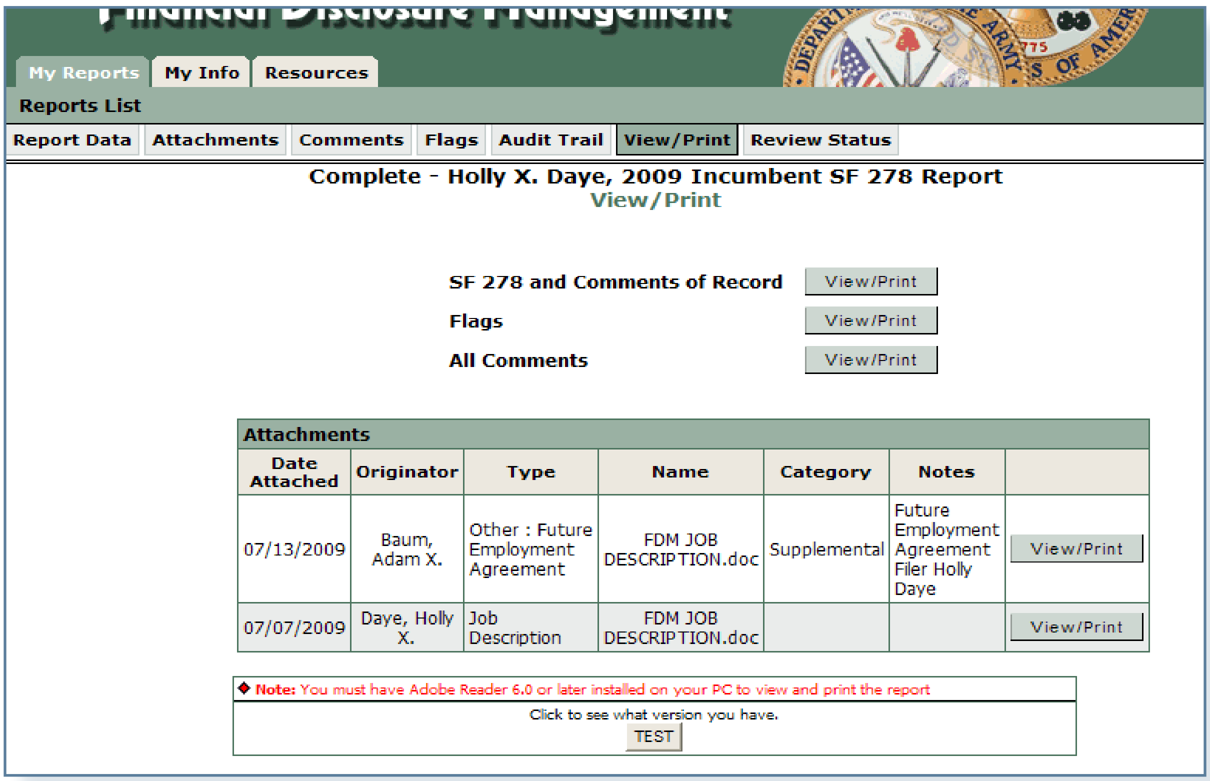
View or Print a Report

At any time, you can view and print your financial disclosure report. View/Print provides Filers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

Viewing a Report in FDM

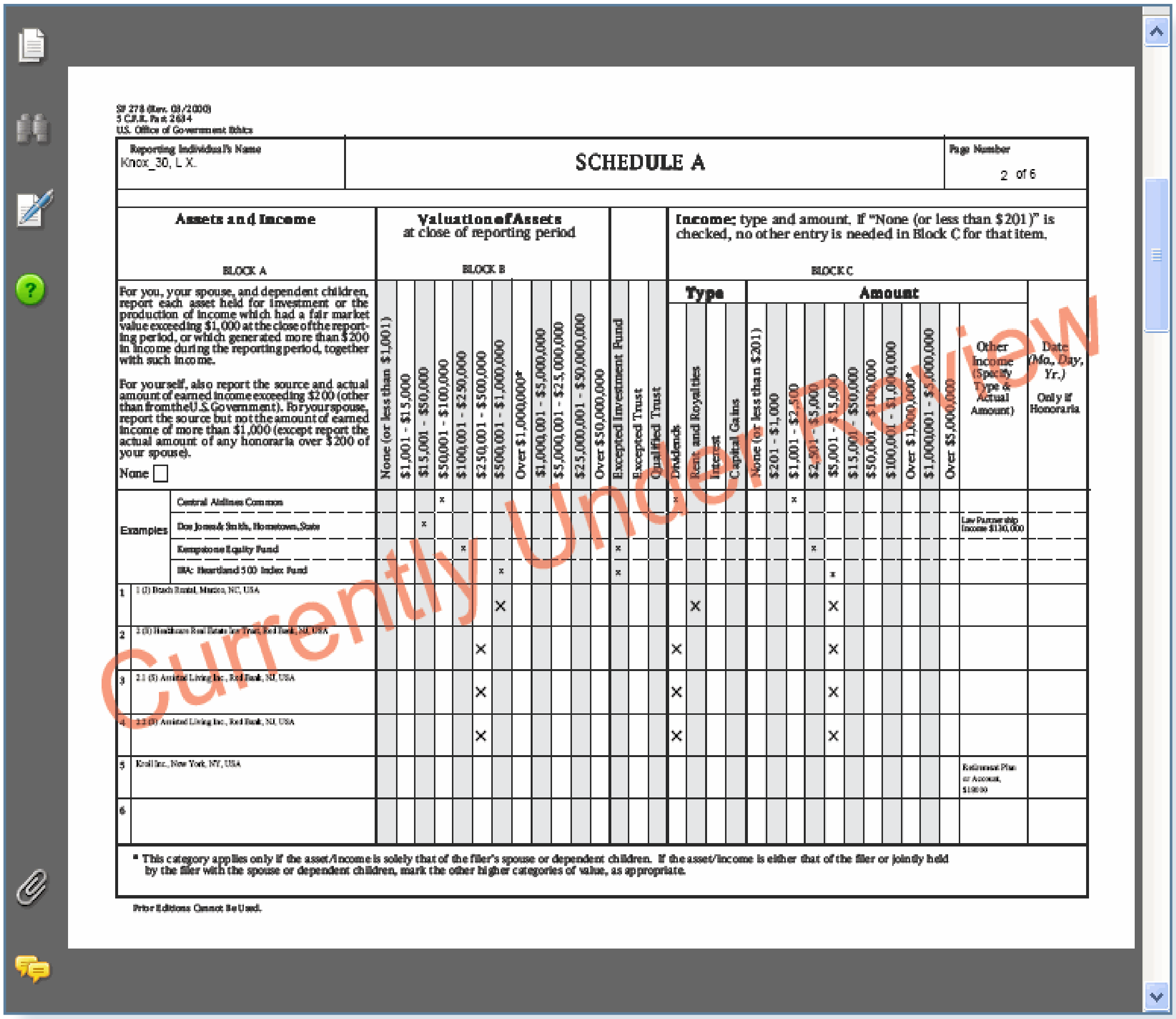
1. Click **View** beside the appropriate report on the **My Reports | Reports List** page.

2. Click **View/Print**.



3. Click **View/Print** beside the financial disclosure report. The financial disclosure report displays in a separate browser window.

To view and print an OGE 278, pop-up blockers must be disabled. You will also need to have Adobe Acrobat Reader 6.0 or later installed on your PC in order to view and print the report. There is a Test button



SF 278 (Rev. 03/2000)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Knox_30, L X.

SCHEDULE A

Page Number: 2 of 6

Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

	Asset	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust
Examples	Central Airlines Common				x											
Examples	Doe Jones & Smith, Hometown, State			x												
Examples	Kempstone Equity Fund					x								x		
Examples	IRA: Heartland 500 Index Fund							x						x		
1	1 (J) Beach Rental, Marion, NC, USA							X								
2	2 (S) Healthcare Real Estate Inv Trust, Red Bank, NJ, USA						X									
3	2.1 (S) Assisted Living Inc., Red Bank, NJ, USA						X									
4	2.2 (S) Assisted Living Inc., Red Bank, NJ, USA						X									
5	Kroll Inc., New York, NY, USA															
6																

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

	Asset	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
Examples	Central Airlines Common	x						x										
Examples	Doe Jones & Smith, Hometown, State																Law Partnership Income $130,000	
Examples	Kempstone Equity Fund								x									
Examples	IRA: Heartland 500 Index Fund									x								
1	1 (J) Beach Rental, Marion, NC, USA		X							X								
2	2 (S) Healthcare Real Estate Inv Trust, Red Bank, NJ, USA	X								X								
3	2.1 (S) Assisted Living Inc., Red Bank, NJ, USA	X								X								
4	2.2 (S) Assisted Living Inc., Red Bank, NJ, USA	X								X								
5	Kroll Inc., New York, NY, USA																Retirement Plan or Account, $10000	
6																		

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Prior Editions Cannot Be Used.

4. Select **File | Print** and then click Print.

Recording Extensions

Extensions

FDM certifying authorities, 450 Certifier role for OGE 450s and DAEO and SLC roles for OGE 278s, and their appointed ECs (Ethics Counselors) may record an extension until the disclosure report is certified or "complete" in FDM. The Agency DAEO or DDAEO determines whether the SLC has the authority to grant the extension and record in FDM. SLCs should contact the Deputy DAEO for guidance.

Entering an extension in FDM records the new filing due date of the financial disclosure report. A Filer or Reviewer can determine if an extension has been recorded through Review Status or View Print.

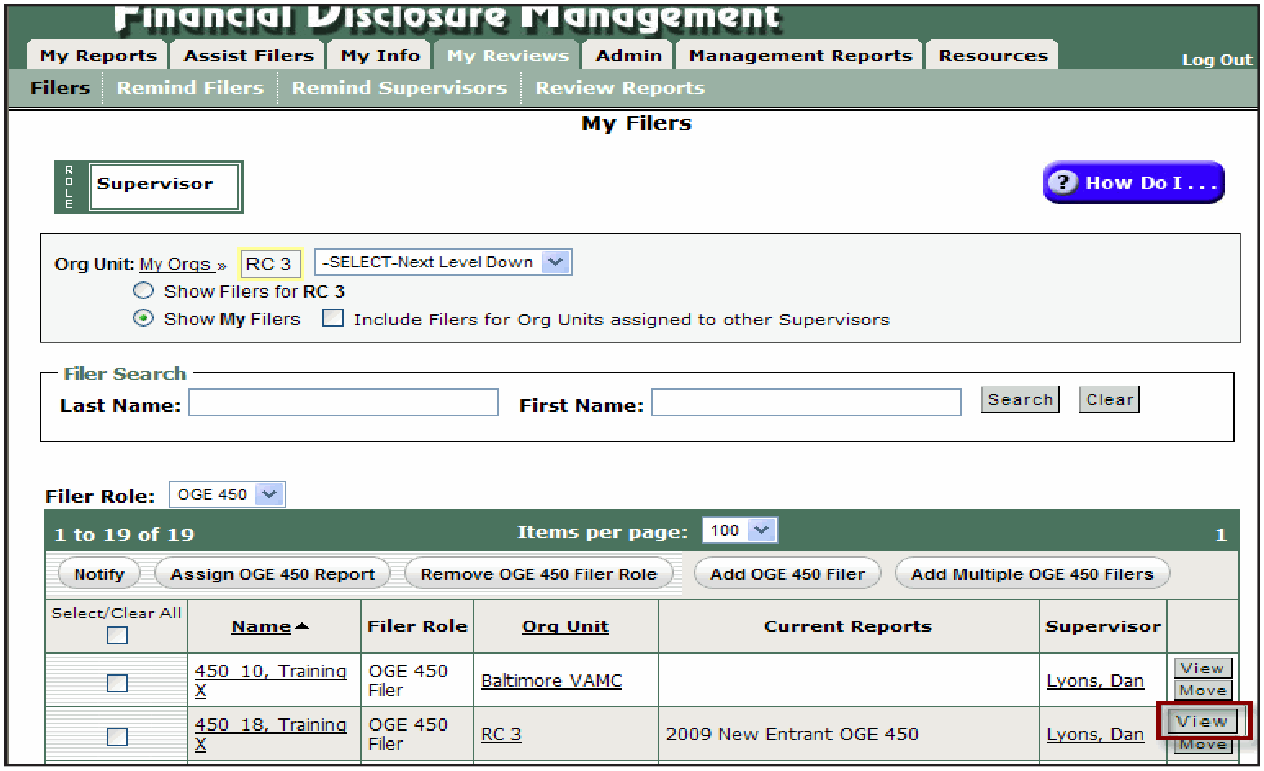
Recording an Extension

Extensions may be recorded after a disclosure is assigned or once the Filer has started a draft report.

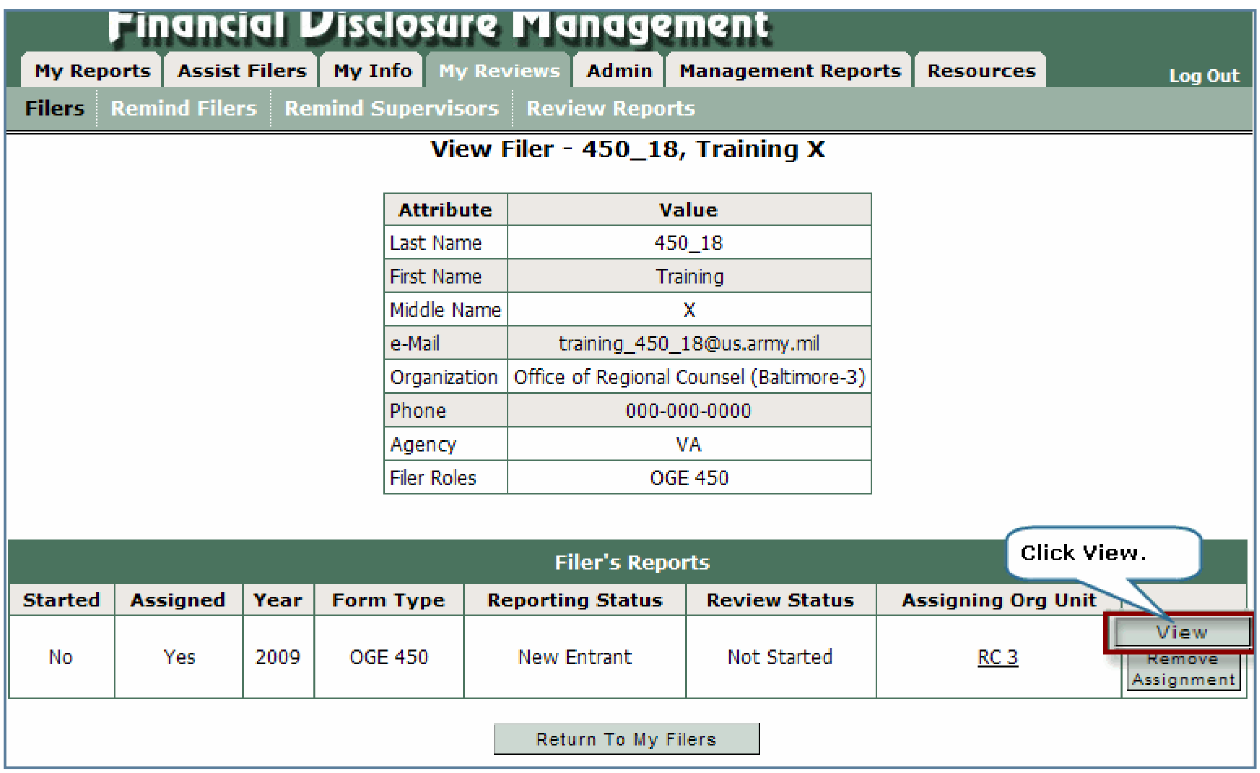
Recording an Extension When Assigning a Report

To record an extension when assigning a report:

1. Go to the **Admin | Filers** tab.
2. Select the Org Unit from the **Next Level Down** drop-down list.



3. Click **View** beside the appropriate Filer(s) name. The View Filer page is displayed.



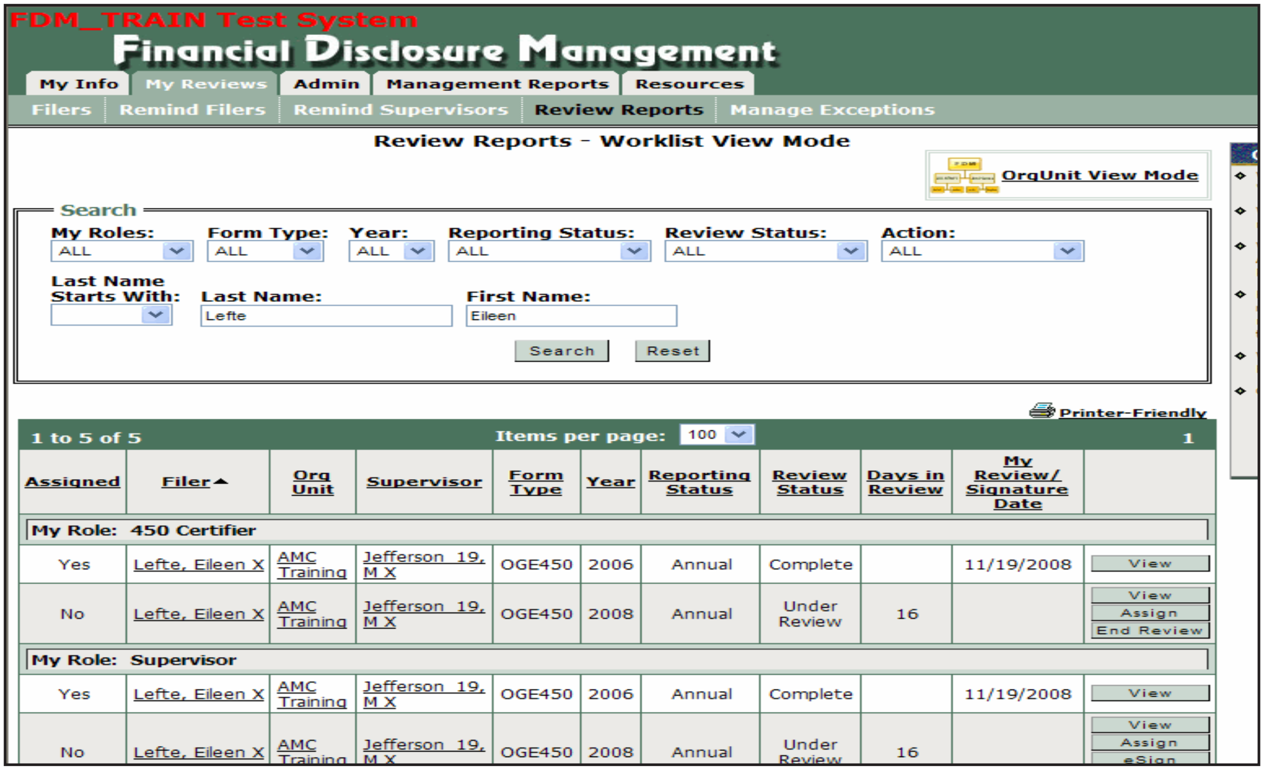
4. Click **View** beside the appropriate Report. Continue to **View/ Edit Due Date & Extensions**

Note: For more information about assigning a report in FDM, please see **QRC Assigning a Report to File.**

Recording an Extension on an Assigned Not Started, Draft or Under Review Report

To record an extension:

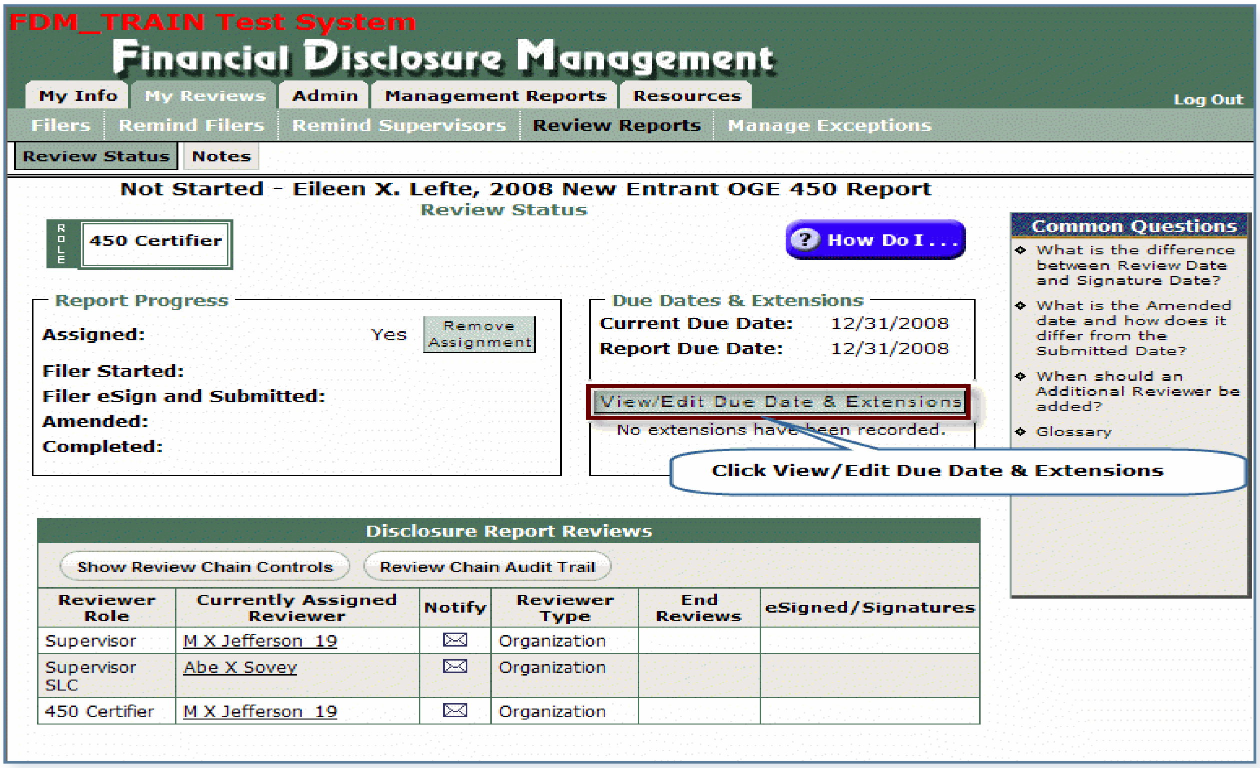
1. Go to the **My Reviews | Review Reports** page, select **All** in the Action drop-down.



2. Type the Filer's name in the Last Name and/or First Name fields and click **Search**.

3. Click **View** beside the appropriate report.

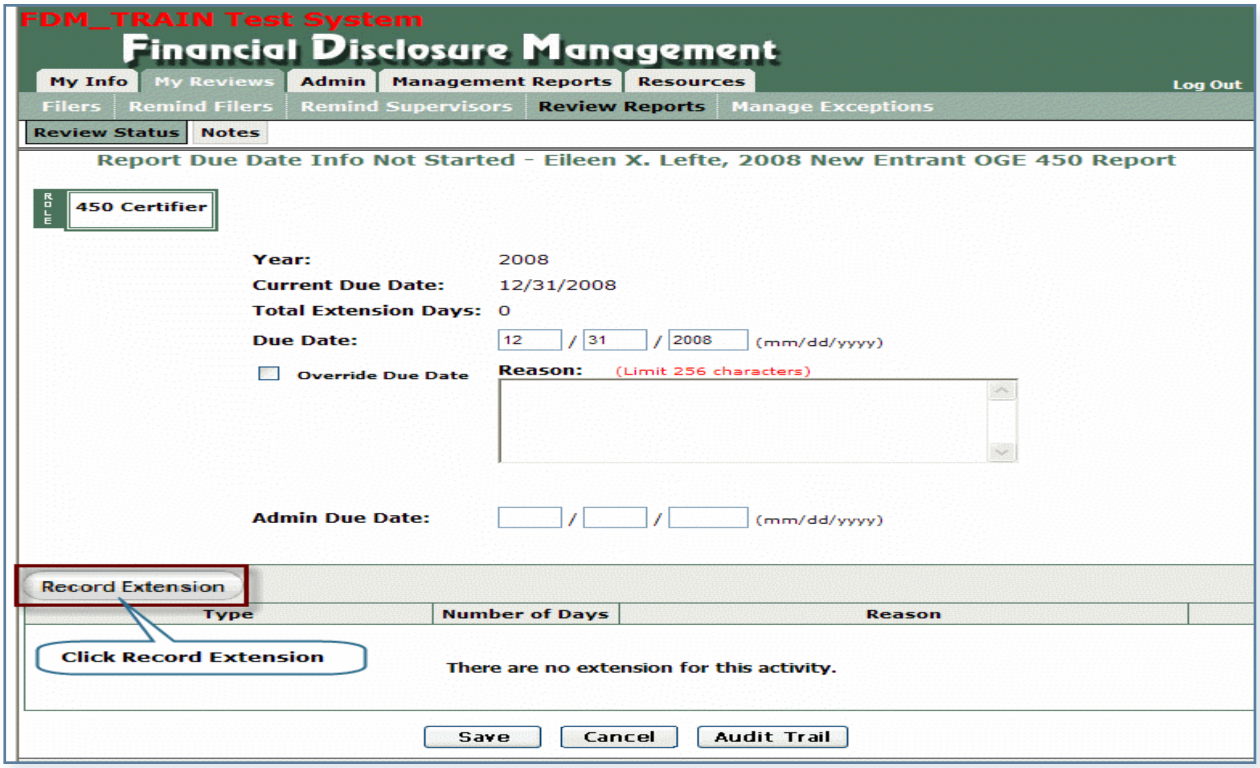
4. Select **Review Status.**



View/Edit Due Date & Extensions

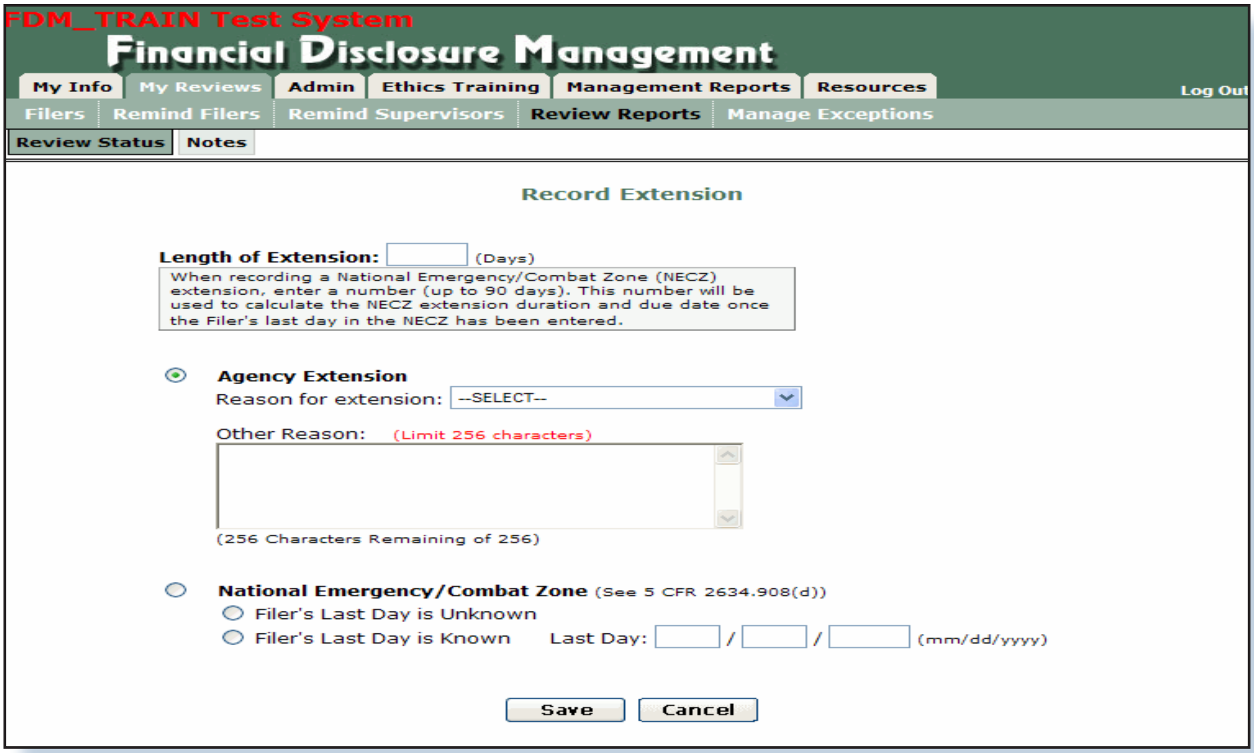
The top portion of the page lists the Filers name, the Filer's assigned activity, due date, number of extensions which have already been granted, if any, and the current due date.

5. In the Due Date & Extensions section on the Review Status page, click **View/Edit Due Date & Extensions**. The Report Due Date Info page is displayed.



6. Click **Record Extension.** The Record Extension page is displayed.

Adding Extension Information



7. Type the extension limit, select the appropriate extension option Agency or National Emergency/Combat Zone and select an Extension Reason.

Agency and National Emergency/Combat Zone Extensions

When entering Agency Extensions, you must select a Reason for Extension from the drop-down menu.

The available Agency Extension Reasons are as follows:

- Long Period of Travel
- Significant Illness
- Extremely Pressing Assignments
- Convenience of Filing Combined Reports
- Other (requires an explanation)

On an OGE 450, when entering a National Emergency/Combat Zone extension, the Filer's assigned report appears on the My Reviews | Manage Exceptions list screen.

8. Click **Save**. You return to the Record/Edit Extension page listing the type of extension granted along with the new Current Due Date.

9. Click **Save** again. You return to the Review Status page and the new Current Due Date is displayed.

Note: To record additional extensions, repeat the above process.

Note: For more information on the Manage Exceptions function in FDM, please see QRC Manage Exceptions and Notes.

Editing an Extension

To edit an extension already recorded in FDM:

1. Go to the **My Reviews | Reports List** page, select **All** in the Action drop-down.

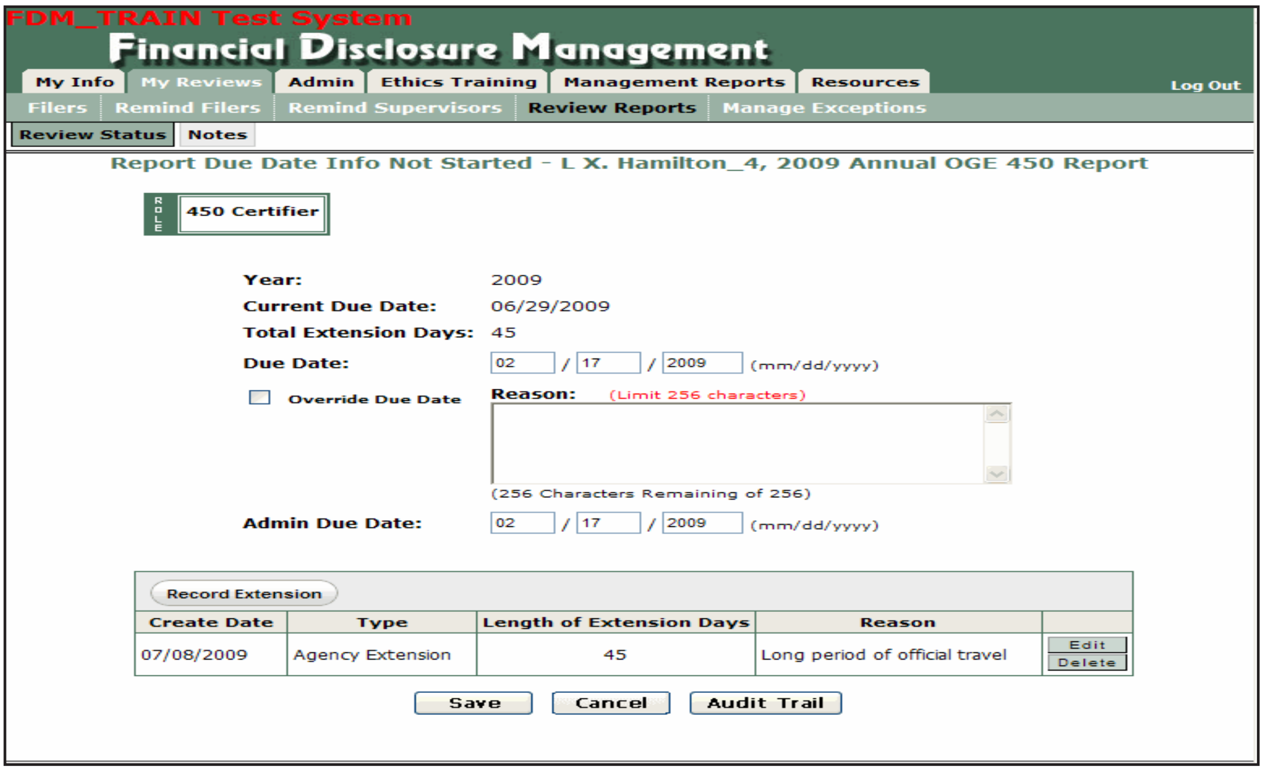
Note: If the report has a National Emergency/Combat Zone extension, go to the **Review Reports | Manage Exceptions** page.

2. Type the Filer's name in the Last Name and/or First Name fields and click **Search**.

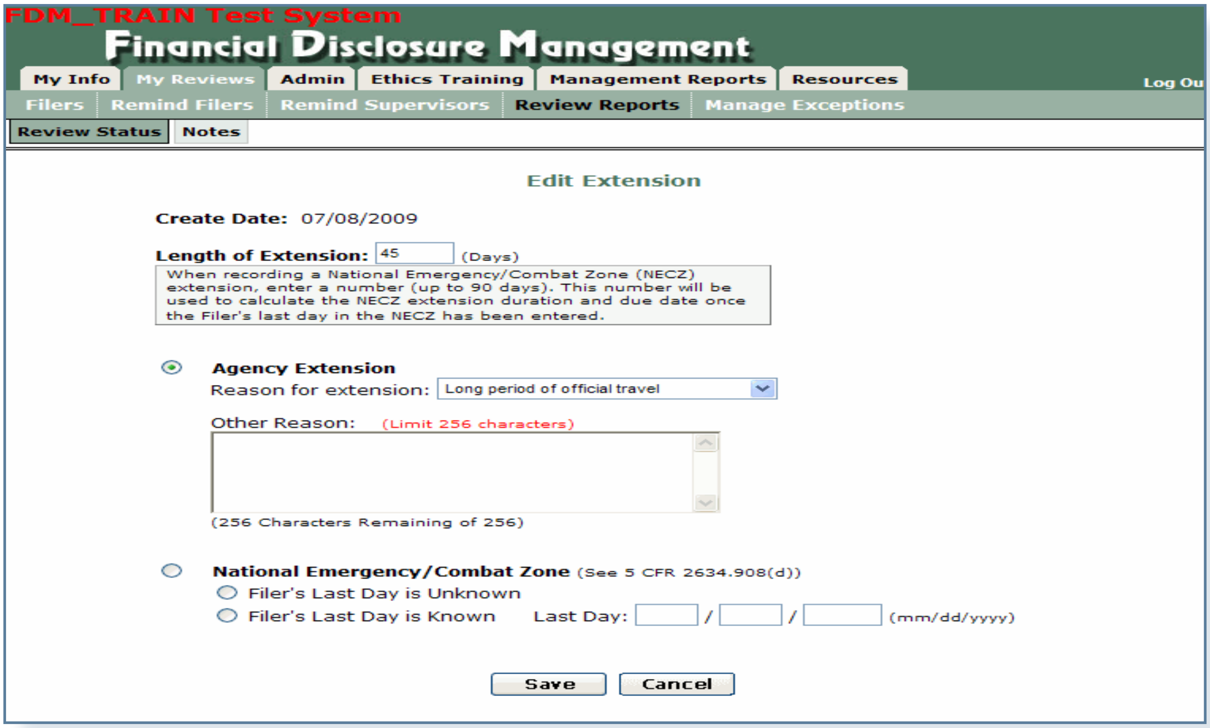
3. Click **View** beside the appropriate report.

4. Select **Review Status.**

5. Click **View Edit Due Date & Extensions.**



6. Click **Edit** beside the extension. The Edit Extension page is displayed.



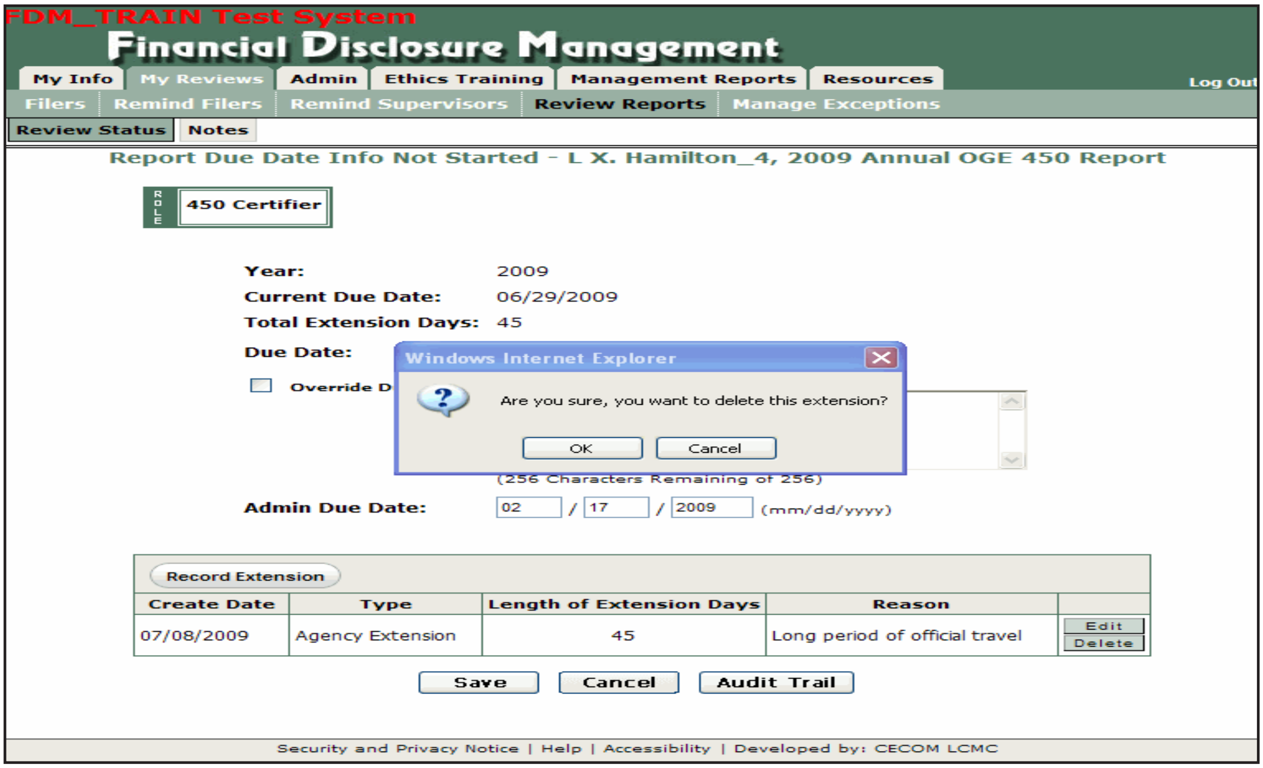
7. Make the necessary changes, then click **Save**. You return to the Record/Edit Extension page and the changes made display.

8. Click on **Save** again.

DELETING AN EXTENSION

To delete an extension already recorded in FDM:

1. On either the **Review Reports| Reports List** page or the **Review Reports | Manage Exceptions** page click **View** beside the appropriate report.
2. Select **Review Status.**
3. Click **View Edit Due Date & Extensions.**



4. Click **Delete** and then click **OK** to the message confirming that you wish to delete this extension.
5. Click **Save.**
6. Click **OK**. You return to the Review Status page and the Current Due Date changes back to the original date.

Determining if an Extension has Been Granted

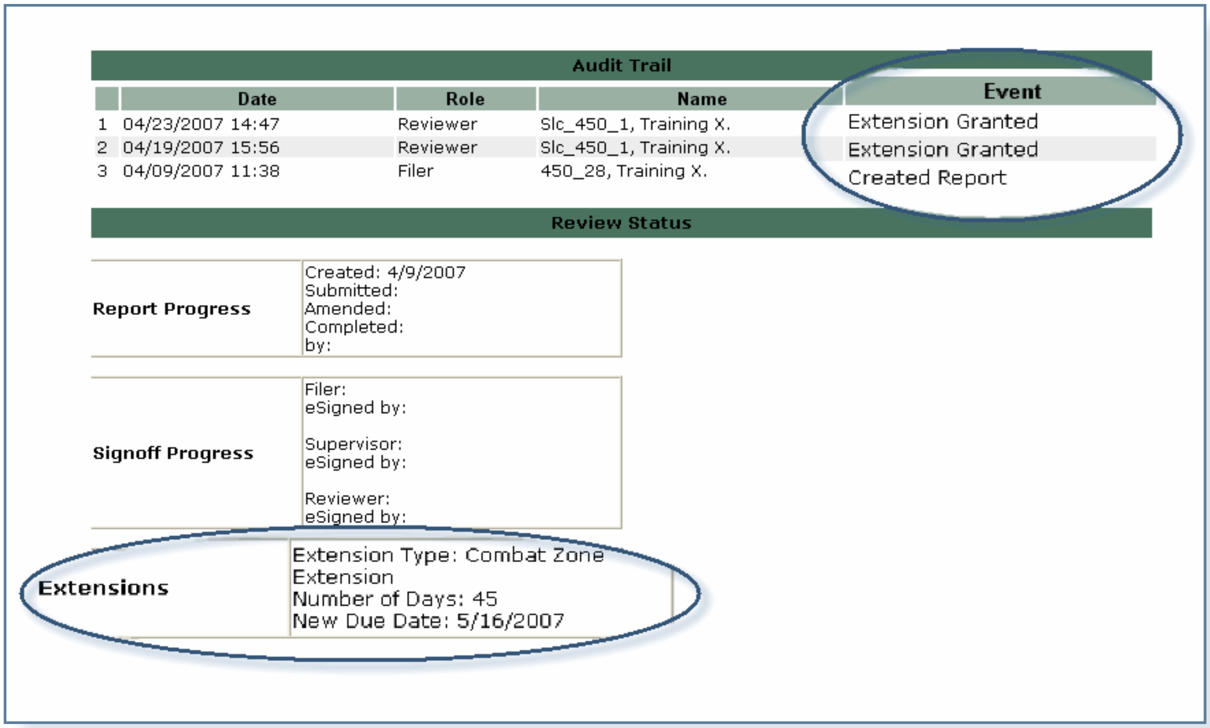
A Filer or Reviewer can determine if an extension has been granted for a financial disclosure report by selecting **Review Status** or **View/Print** for a financial disclosure report.

Review Status

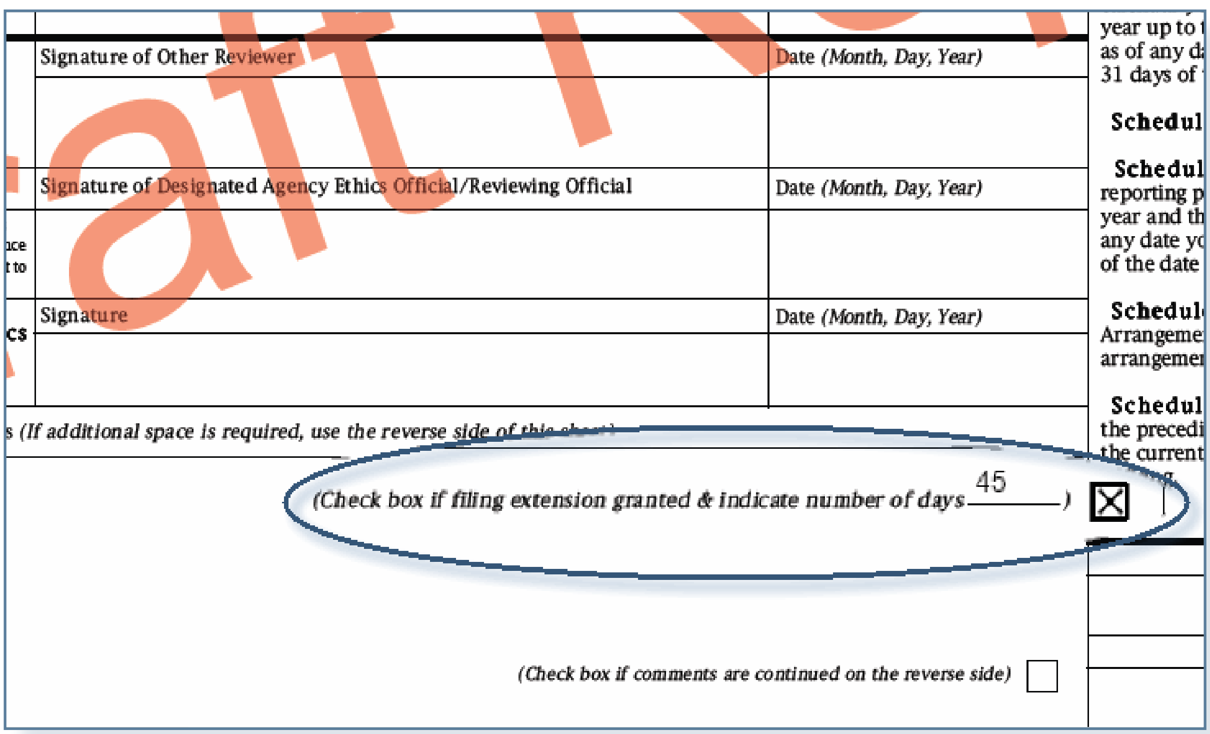
1. On the Reports List page, select **View** or **Edit** beside the appropriate financial disclosure report.
2. Click **Review Status.**
3. Click **View/Record Extensions.**

View/Print

1. Select the **View/Print** submenu and then click **View Print**.
2. For OGE 450 reports, scroll to the Review Status Section of your report to view the extension information.



3. For OGE 278 reports, scroll to the bottom of your report cover page to view the extension information.



Remind Filers

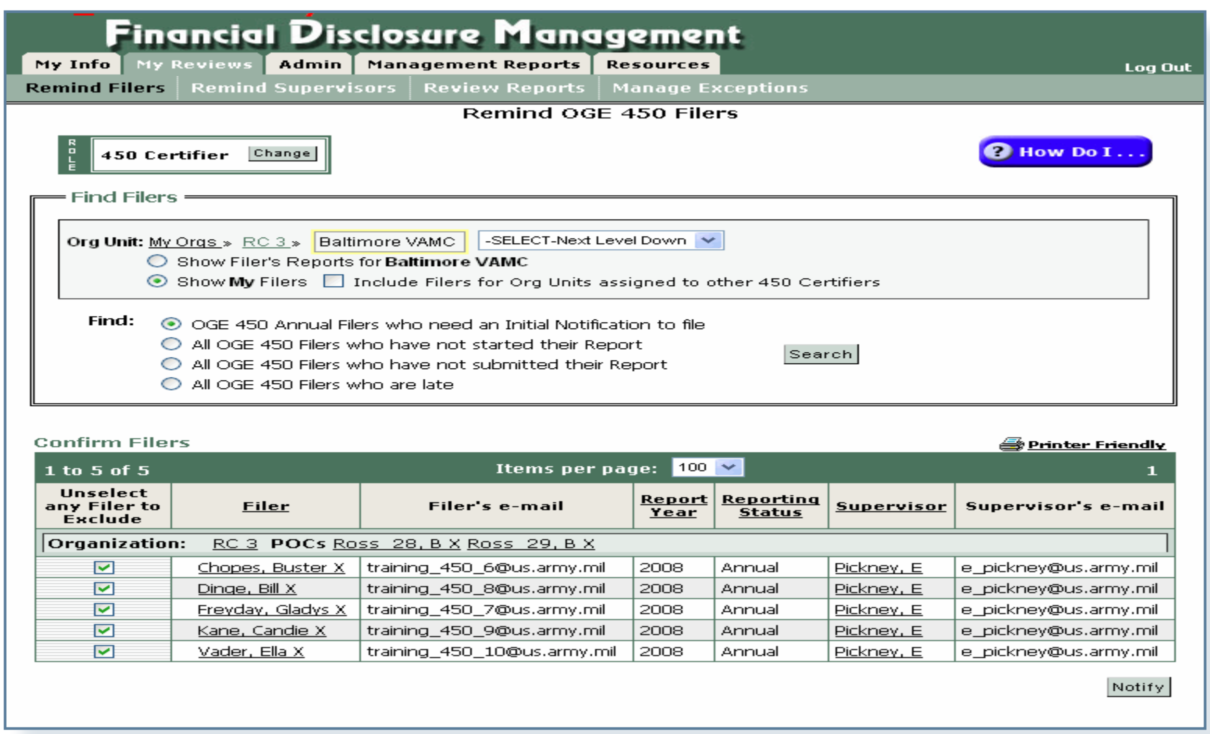
Once your Filers are assigned an OGE 450 report to file in FDM, you can use Remind Filers to monitor their filing progress. POCs, Supervisors and 450 certifiers can use this tool to identify and then notify Filers:

- initially who have been assigned an OGE 450 Annual report to complete in FDM.
- have not begun the filing process.
- have not eSigned their report.
- are late in submitting their report.

Sending an E-mail Reminder

To send a notification to a group of Filers reminding them of their need to file in FDM:

1. Select **My Reviews | Remind Filers**. The Remind OGE 450 Filers page is displayed.



2. If you hold more than one role, ensure you have the appropriate role selected by clicking on **Change** in the Role field.

3. Select the Org Unit from the **Next Level Down** drop-down list and the appropriate **View**.

View	Description
Show Filer's Reports for (Org Unit)	This scope limits your view to the Filers in the selected Org Unit.
Show My Filers	This scope limits your view to those Filers in org units that do not have another user with your same FDM role. For example, a Supervisor can act as a Supervisor to their Org Unit and all subordinate Org Units unless the sub Org Unit has different Supervisor.
Include Filers for Org Units assigned to other (FDM Role)	Allows you to view and manage all Filers listed on the page. For example, a Supervisor can manage Filers within their own Org Units and subordinate Org Units even if the subordinate Org Unit has a different Supervisor.

Choose Recipients for Message

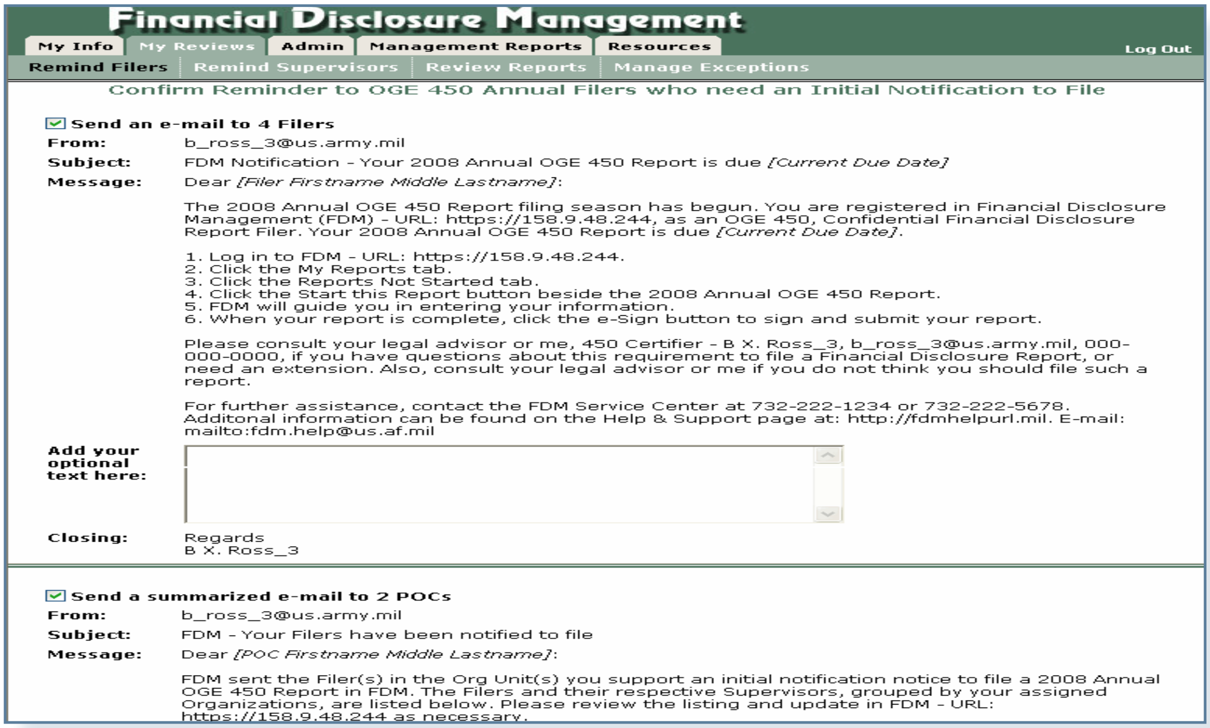
4. Under the **Find** section, select one of the following options and then click **Search**. Results are displayed at the bottom of the page matching the selected option.

OGE 450 Annual Filers who need an Initial Notification to File	Sends an e-mail to Filers who have been assigned a report to file in FDM
All OGE 450 Filers who have not started their reports	Sends an e-mail only to those Filers who have not started their assigned report.
All OGE 450 Filers who have not submitted their report	Sends an e-mail only to those Filers who have not eSigned their report.
All OGE 450 Filers who are late	Sends an e-mail to those Filers who are late in submitting their report.

5. Review the list and then click **Notify**. The Confirm Reminder to OGE 450 Filers page is displayed.

Review E-Mail Message

The Confirm Reminder page is used to notify a Filer that he/she has been assigned a report to file in FDM and lists the type of report that should be filed along with the due date.



When sending notifications from FDM, be sure NOT to use special characters such as <,> =, &, :, " " in your message. Italicized items in brackets indicates areas where local revisions of the message need to occur

Customize Message

6. Type any additional text to add to your message and then click **Send.** The Remind OGE 450 Filers page is displayed with a message summary.

Note: You can also send a copy of this message to any associated POCs and Supervisors from this page.

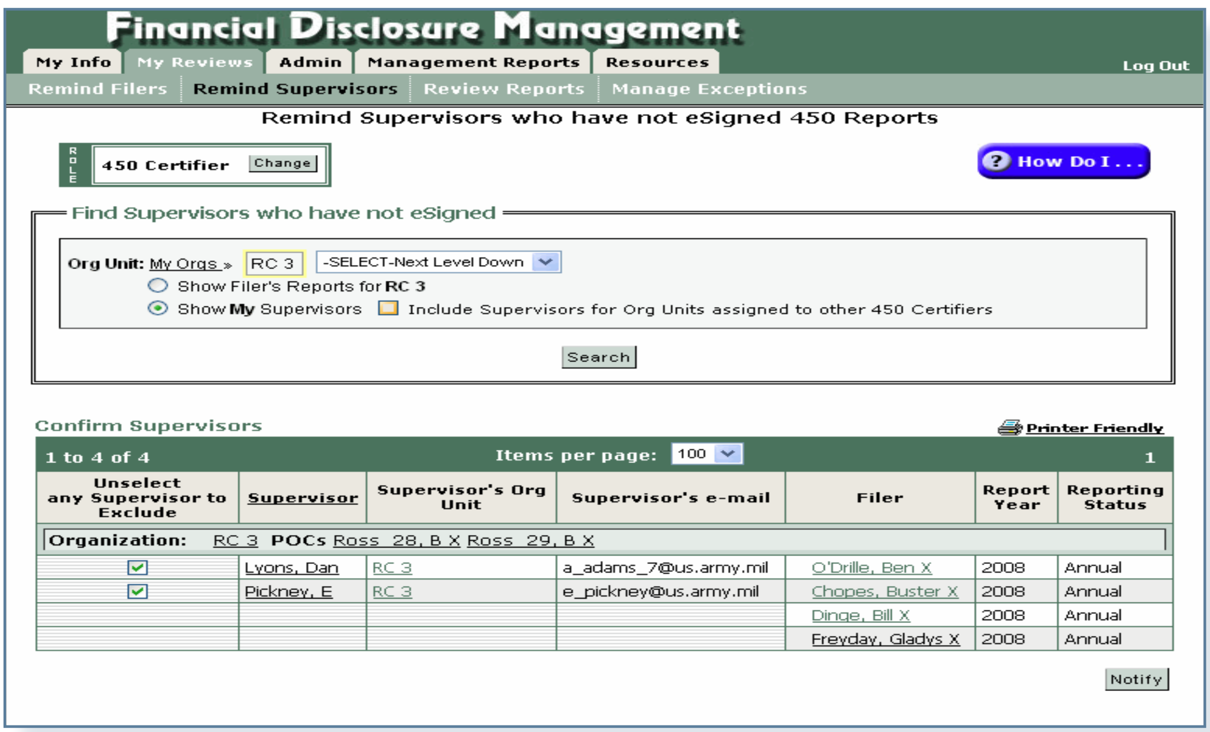
Remind Supervisors

Once your Filers have eSigned their OGE 450 reports, you can use Remind Supervisors to monitor the supervisory review progress. POCs, Supervisors and 450 certifiers can use this tool to identify and then notify Supervisors that they must begin their review of the Filer's reports in FDM.

Sending an E-mail Reminder

To send a notification to a Supervisor or a group of Supervisors reminding them of their need to review OGE 450 reports in FDM:

1. Select **My Reviews | Remind Supervisors.** The Remind Supervisors Who Have Not eSigned page is displayed.



2. If you hold more than one role, ensure you have the appropriate role selected by clicking on **Change** in the Role field.

Choose Recipients for Message

3. Select the Org Unit from the **Next Level Down** drop-down list and the appropriate **View**.

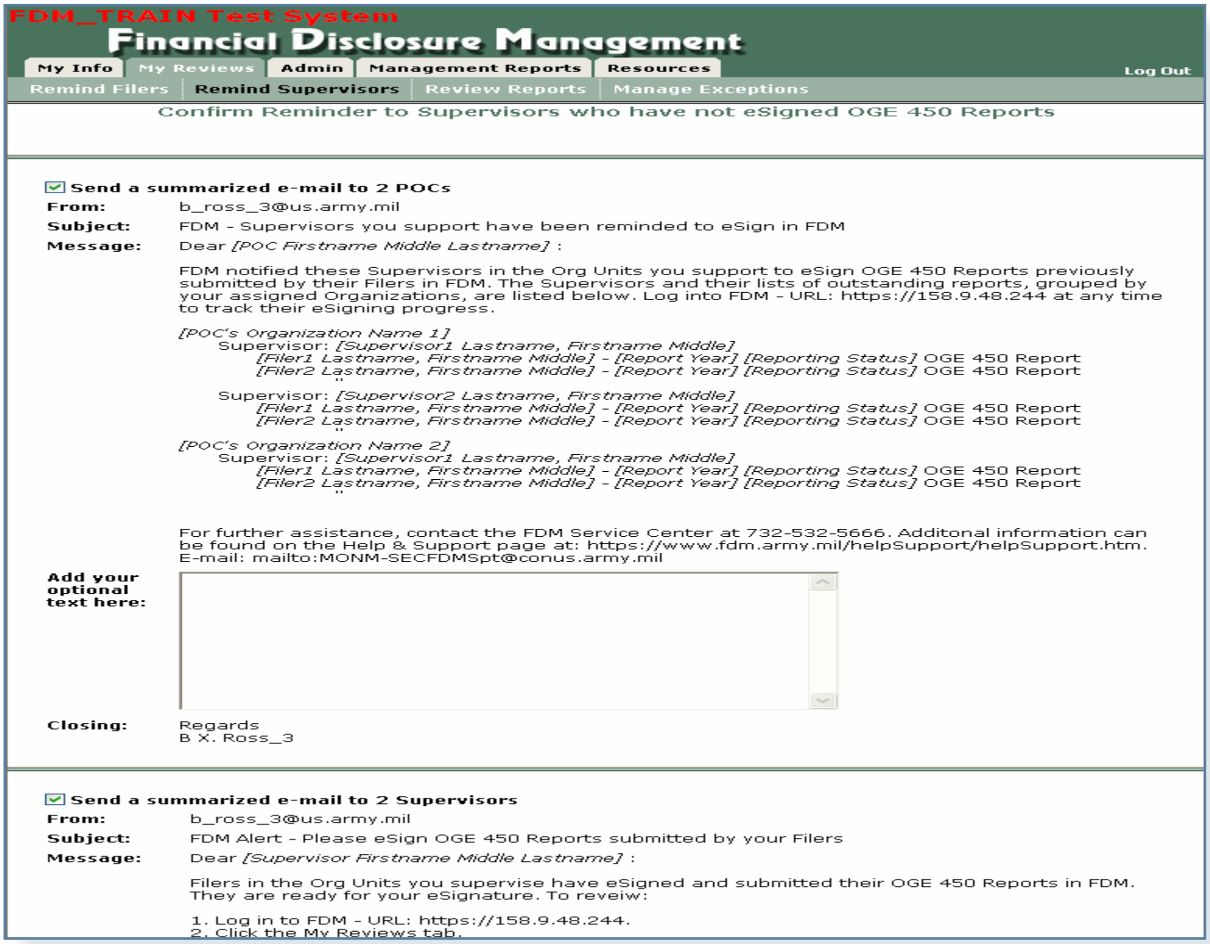
View	Description
Show Filer's Reports for (Org Unit)	This scope limits your view to the Supervisors and the reports they have not eSigned in FDM in the selected Org Unit.
Show My Supervisors	This scope limits your view to those Supervisors in org units that do not have another user with your same FDM role. For example, a Supervisor can act as a Supervisor to their Org Unit and all subordinate Org Units unless the sub Org Unit has different Supervisor.
Include Supervisors for Org Units assigned to other (FDM Role)	Allows you to view and manage all Supervisors listed on the page. For example, a 450 Certifier can manage Supervisors within their own Org Units and subordinate Org Units even if the subordinate Org Unit has a different 450 Certifier.

4. Click **Search**. Results are displayed at the bottom of the page matching the selected option.

5. Review the list and then click **Notify**. The Confirm Reminder to OGE 450 Filers page is displayed.

Review E-Mail Message

The Confirm Reminder page is used to notify the Supervisor that he/she has completed Filer reports in FDM that need to be eSigned along with the due date.



When sending notifications from FDM, be sure NOT to use special characters such as <,> =, &, :, " " in your message. Italicized items in brackets indicates areas where local revisions of the message need to occur

Customize Message

6. Type any additional text to add to your message and then click **Send.** The Remind Supervisors page is displayed with a message summary.

Note: You can also send a copy of this message to any associated POCs from this page.

Reviewing an OGE 450

The review process begins in FDM when the reviewer receives an automated e-mail message indicating that they can begin their review process. In the Department of Defense (DoD), the Joint Ethics Regulation (JER) 7-306 requires Supervisors review OGE 450s. Non-DoD agencies using FDM need not use the Supervisor role in FDM 450. FDM requires both the Filer's Supervisor and 450 Certifier to review and eSign a report before the review is considered complete.

Supervisors use FDM to review financial disclosure reports online checking the reported financial interests for completeness, to identify any financial interests that may conflict with the Filer's official duties, and that the report is administratively accurate and complete. Once a Supervisor has eSigned a report, the 450 Certifier receives an automatic notification that the report is ready for review.

FDM's Compare feature highlights changes when a filer prepopulated the current report from a prior one in FDM. In addition, reviewers can check that a report is administratively accurate and complete. The "Flags" tool helps prevent many common mistakes before the Filer submits his/her report saving time for the Filer and reviewers.

Normally the Filer or another reviewer will cause FDM to e-mail a notice that an OGE 450 is ready to review. That e-mail should contain instructions to login to FDM, https://www.fdm.army.mil, and go to the **My Reviews | Review Reports** tab, **Worklist** View. There, either change or accept the default settings and click on **Search** to see all reports ready for your action in any of your FDM role(s).

FDM Reviewer Tools

FDM's reviewer tools helps reviewers track or "watch" Filer and reviewer (technical and legal) compliance. In FDM, reviewers can:

- quickly see a snapshot of those reports that require their attention through Manage Exceptions.
- monitor the filing progress using Remind Filers.
- monitor the Supervisor's review progress using Remind Supervisors.
- manage Filers and their assigned reports using Review Reports.

Note: In FDM, a Supervisor or Intermediate reviewer must review and eSign a Filer's report before it can be certified.

Late Filing - Remind Filers & Remind Supervisors

Remind Filers

Once your Filers are set up in FDM, you can use Remind Filers to monitor and manage filing activities. Org unit POCs, Supervisors and 450 Certifiers may use the Remind Filers tool to track the progress of Filers who have been assigned reports.

Use Remind Filers to:

- Initially notify Filers of their report assignment in FDM.
- Locate Filers who have not started their reports and send reminder notifications.
- Send second reminder notification to Filers who have not completed their reports.

Remind Supervisors

Another tool available to Org unit POCs, Supervisors and 450 Certifiers is the Remind Supervisors function where you can remind Supervisors that they have reports to review and eSign in FDM.

Manage Exceptions

The Manage Exceptions tool allows 450 Certifiers to track Filer and Supervisor Reviewer compliance and to manage reports that require any special action(s). Reports remain in the Manage Exceptions list until the report issue is resolved.

Reports display on the Manage Exceptions list if:

- OPEN NOTES - The Report has existing Notes that are not "Closed."
- CZ/NECZ Extension – A National Emergency/Combat Zone extension has been recorded for the report.
- Filer not eSigned - The Filer has not submitted the report in FDM by the report's due date.
- Supv not eSigned - More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the Supervisor has not eSigned.
- Filer not Started – The Filer has not started entering data into their report by the report's due date.

- A report that is listed on the Manage Exceptions list will not be available on the Worklist.
- Only 450 Certifiers can access reports on the Manage Exceptions list.

Review Process Flow

The process for reviewing an OGE 450 includes the following tasks:

Reviewing Tasks for OGE 450 Reports in FDM

- The Reviewer identifies the Filers who need their report reviewed in FDM.
- The Reviewer gathers any review aids for reference such as, the Filer's previous financial disclosure report, ethics agreements, agency list of contractors, etc.
- The Reviewer logs in to FDM.
- The Reviewer tracks Filer reporting activities.
- Reviewer reviews their Review Reports list.
- Reviewer selects a report to review.
- Reviewer checks the report's flags
- Reviewer selects the appropriate Report Data section(s) to review
- Reviewer makes/adds comments where necessary.
- Reviewer eSigns and ends their review.

Note: You must click **Notify** to send an e-mail to the next reviewer indicating that they can begin their review process.

Review an OGE 450

Logging In

1. Log onto your computer, open a web browser, type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.

Website Security Certificate Message

Some users may receive the message. "There is a problem with this website's security certificate."

2. Click **"Continue to this website (not recommended)."**

3. Click **Login to FDM** on the left side of the FDM Home page.

CAC Login

4. Click the **Login** button under the Login Using your CAC section.

5. Select your certificates and then click **OK**. The Review Reports page will display for Reviewers.

Logging In With User Name

4. Select your appropriate authenticating source from the Login Using drop-down.

5. Enter your **User Name** and **Password**. The Review Reports page will display for Reviewers.

Locating My Filer's Reports

FDM has two Report's List views: Worklist and Org Unit. The Worklist is the default view for all FDM reviewers. Org View lists disclosures by Org Unit.

Note: Agency Admins and POCs do not see the Disclosure Worklist.

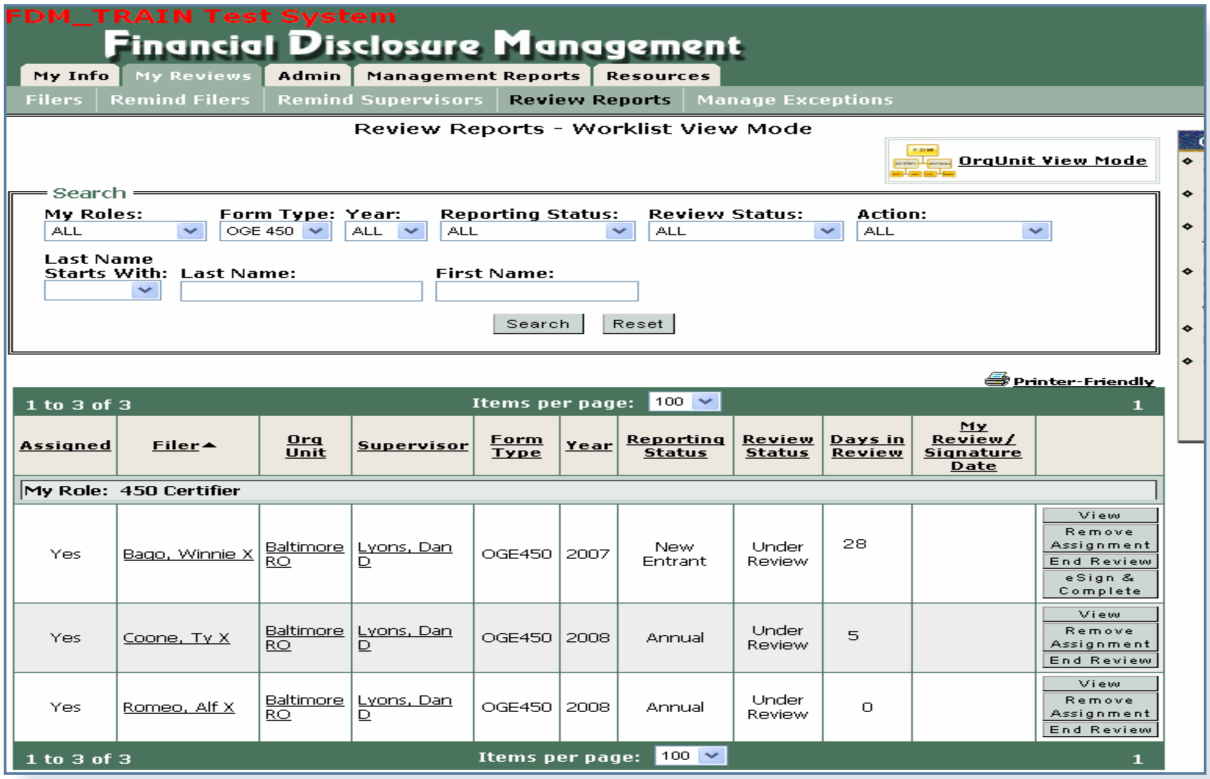
The Search Filters provide a way to view only those disclosures that require your attention. When a filter is applied to the Reports List, only those disclosures that meet the criteria will display. All other disclosures can be viewed by simply clicking Reset.

You can select different combinations in the Search Filter to see only those disclosures you wish to review.

Report's Worklist

Use the Worklist as a reminder of the reviewing activities you need to complete. You can filter your Worklist in combination with sorting the column headings to organize your disclosure review quickly and efficiently.

List Disclosures that you need to eSign



1. In the Search area select the following and click **Search.**
   - ROLE - Supervisor or 450 Certifier
   - FORM TYPE - OGE 450
   - YEAR - The current year
   - REPORTING STATUS- All
   - REVIEW STATUS - Under Review
   - ACTION - Action Required
2. Continue to the Reviewing a Report section.

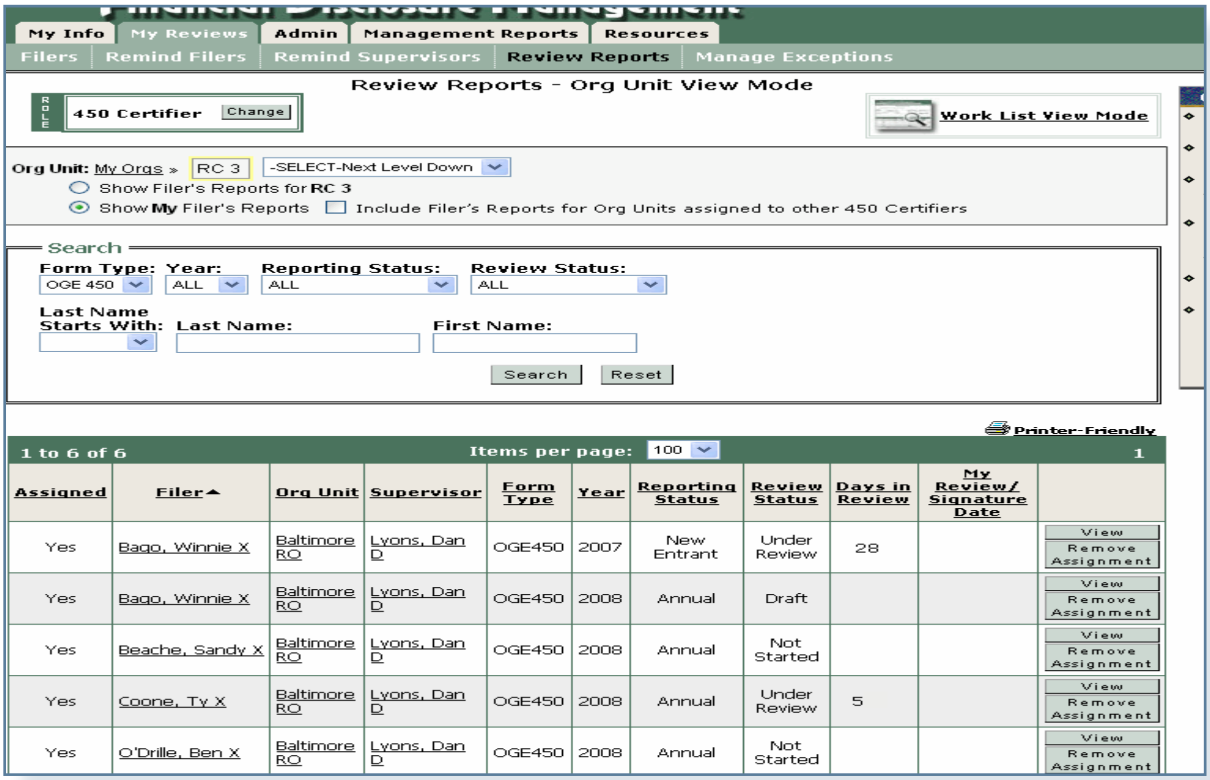
Disclosures are grouped by your FDM role.

If you have multiple FDM roles you may see the same disclosure listed two or more times on the Worklist page until you have completed your reviewing activity for that disclosure in one of your FDM roles.

Report's Org Unit View

Use the Org Unit view to list reports by Filer Org Unit.

1. On the Review Reports page, click on the **OrgUnit View Mode** link.



Assigned	Filer	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days in Review	My Review/ Signature Date	
Yes	Bago, Winnie X	Baltimore RO	Lyons, Dan D	OGE450	2007	New Entrant	Under Review	28		View Remove Assignment
Yes	Bago, Winnie X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Draft			View Remove Assignment
Yes	Beache, Sandy X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Not Started			View Remove Assignment
Yes	Coone, Ty X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Under Review	5		View Remove Assignment
Yes	O'Drille, Ben X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Not Started			View Remove Assignment

2. Click **Change** in the Role field and select the appropriate role. If you hold more than one role, ensure you have the appropriate role selected by clicking on Change in the Role field.

You can use the column sorting to display your results in a particular order by clicking the specific column heading. For example if you wanted to bring all of your Annual disclosure to the top of the list, click the Reporting Status column heading and an arrow displays to sort by ascending or descending..

3. Select the Org Unit from the Next Level Down drop-down list.

4. Select **Show My Filer's Reports** to see a listing of all of the reports you are responsible for reviewing.

5. Under the Search area, select the following and click **Search.**

- FORM TYPE - OGE 450
- YEAR - The current year
- REPORTING STATUS - All
- REVIEW STATUS - All

Note: You can also search for a particular report by Filer Name.

Locating Filer Reports by Org Unit

To see a listing of disclosure reports for Filers in a specific Org Unit, select an **Org Unit** from the Next Level Down drop-down list.

View a Listing of Reports Assigned to Different Reviewers

To view a listing of disclosure reports that includes Filers assigned to different reviewers but within your organizational hierarchy, select **Include Filer's Reports for Org Unit's assigned to other** (Supervisors, 450 Certifiers etc.) You can identify disclosures that have a different reviewers assigned by the triangle icon. You may view and work with these disclosures; however, you cannot eSign as a different FDM user as the ultimate responsibility.

If a report you are looking for is not listed on your Worklist, click Org Unit View or if you are a 450 Certifier, Manage Exceptions.

Locating a Specific Report

To locate a specific report, be sure to select **Show My Filer's Reports** and **Include Filer's Reports for Org Unit's assigned to other (SLCs, Supervisors, etc.)** and then type at least the first three letters of the Filer's last name in the Last Name field and click **Search**.

Locate Disclosures for a Specific Filer

1. Leave the default filter settings in either the Worklist or Org Unit view.
2. Type the Filer's last name and First Name in the search fields.
3. Click **Search.**

Quickly Locate Disclosures for a Group of Filers

1. Leave the default filter settings in either the Worklist or Org Unit view.
2. Select the appropriate letter in the Last Name Starts With drop-down
3. Click **Search.**

If the Report Status is Amendment in Progress or Draft, you can view the report and add comments but cannot eSign.

Reviewing a Report

Reviewing Options

At this point, you can opt to End Initial Review, eSign, View, Assign or Remove Assignment.

Field	Description
End Initial Review	To indicate that they have conducted an initial review of a financial disclosure report.
eSign	When you have completed your review and are confident there are no conflicts of interest.
View	Allows you to review the financial disclosure report online.
Assign	Allows you to assign a report that the Filer has already started.
Remove Assignment	Allows you to remove the report assignment if it was assigned erroneously. If the report Review Status is Not Started or Draft, the report is removed from FDM when the assignment is removed.

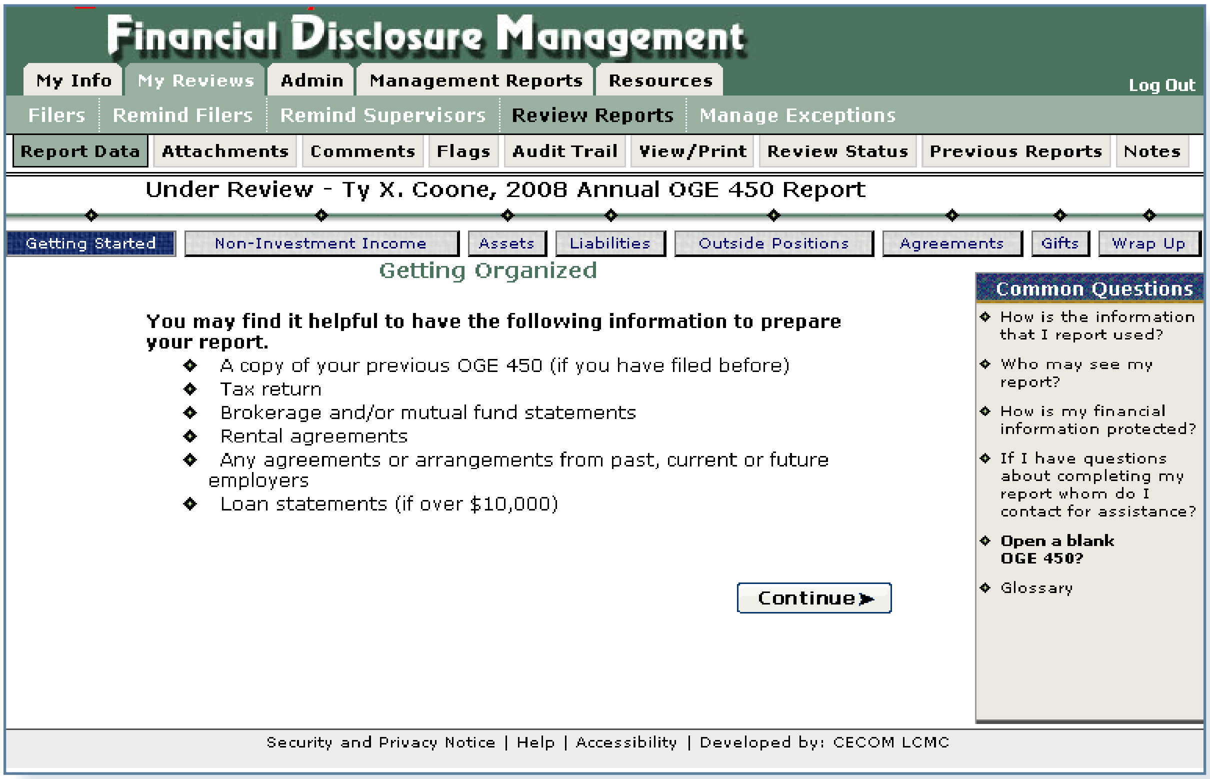
Supervisory Review in FDM

FDM currently requires both the Filer's Supervisor and 450 Certifier to review and eSign a report before the review is considered complete.

Not all agencies require supervisory review for the OGE 450.

Supervisors receive an automatic notification from FDM once the Filer has submitted a report. Once a Supervisor has eSigned a report, the 450 Certifier receives an automatic notification that the report is ready for review.

1. On either the Worklist or Org Unit View, click **View** beside the appropriate report to open the report and view its contents. The Getting Organized page is displayed for the OGE 450 report you are reviewing.



Compare/View/Report Data

There are three different ways to review disclosure in FDM:

- By using Compare, if the current disclosure was pre-populated from a previous disclosure
- By clicking View/Print to view and print the disclosure report
- Through the Report Data "wizard"

Compare

Reviewers can easily compare changes/differences between last year's report and this year's on one page if the Filer pre-populated from a previous report.

HINT! You may open the disclosure report through View/Print and then move to the specific Report Data section of the report to add a comment or check Flags.

View/Print Reports

Reviewers may prefer to quickly review report contents by using the View/Print feature especially if you have many reports to review.

Report Data "Wizard"

Reviewers may find it easier to view the contents of a Filer's report through the Report Data "wizard" if the report is lengthy or complex.

Previous Reports

FDM reviewers (i.e., supplemental or additional) can request a copy of a Filer's previous report for comparison.

1. While reviewing a report in FDM, click the **Previous Reports** tab. A listing of the Filer's disclosure reports that were created in FDM displays.
2. Click **View/Print** beside the appropriate report to view a copy of the Filer's previous report.

Note: You can also view a Filer's previous reports by clicking Reports List. Select all in the Search Filter and then click Search.

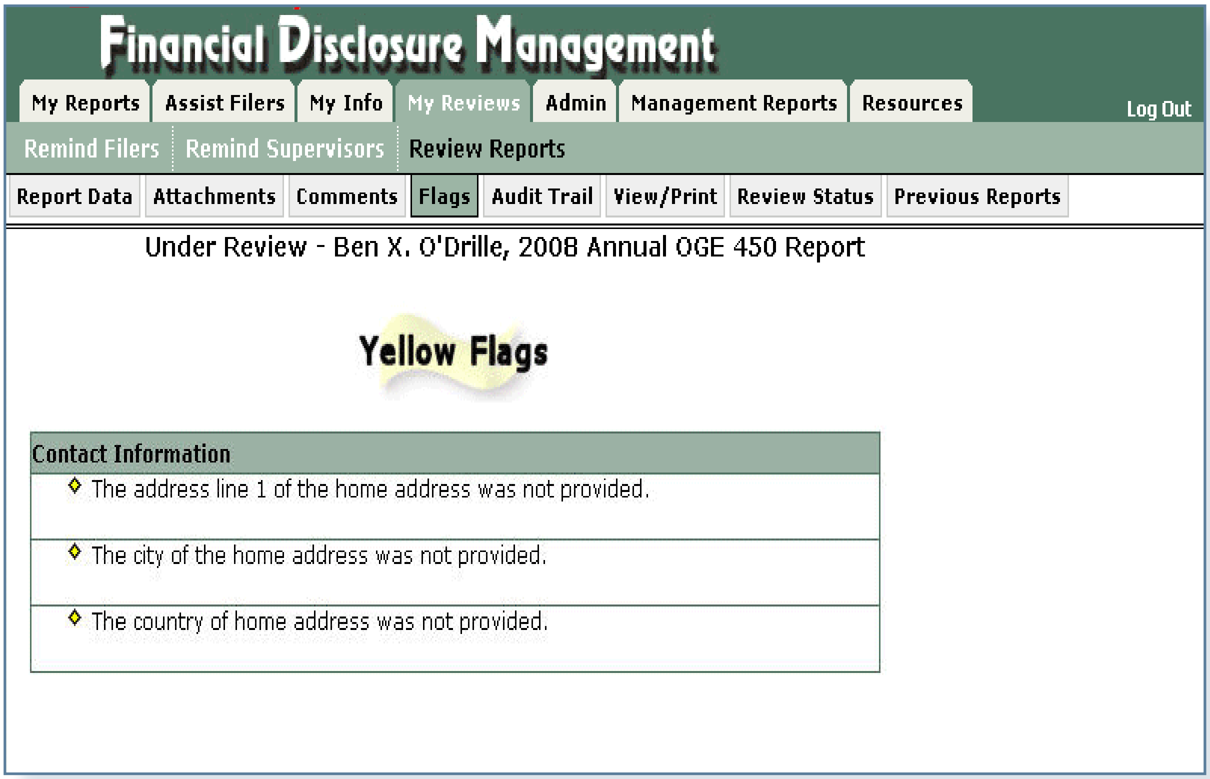
An OGE 450 Filer cannot submit a disclosure with a red flag in FDM.

Reviewing the Report's Flags

Review any report flags to be sure all errors and omissions are addressed.

A red flag indicates required information is missing and that it should be provided before the report is submitted. A yellow flag indicates that information is missing but is not required in order to submit a report.

1. Click **Flags.** The Flags page is displayed listing any Red or Yellow flags the Filer may have on their financial disclosure report.



2. Review the report's flags. When complete, click either **Report Data** to return to the details of the disclosure you are reviewing or **View/Print** to view and print the financial disclosure report form.

The Compare feature is only available if the Filer pre-populated from a previous report.

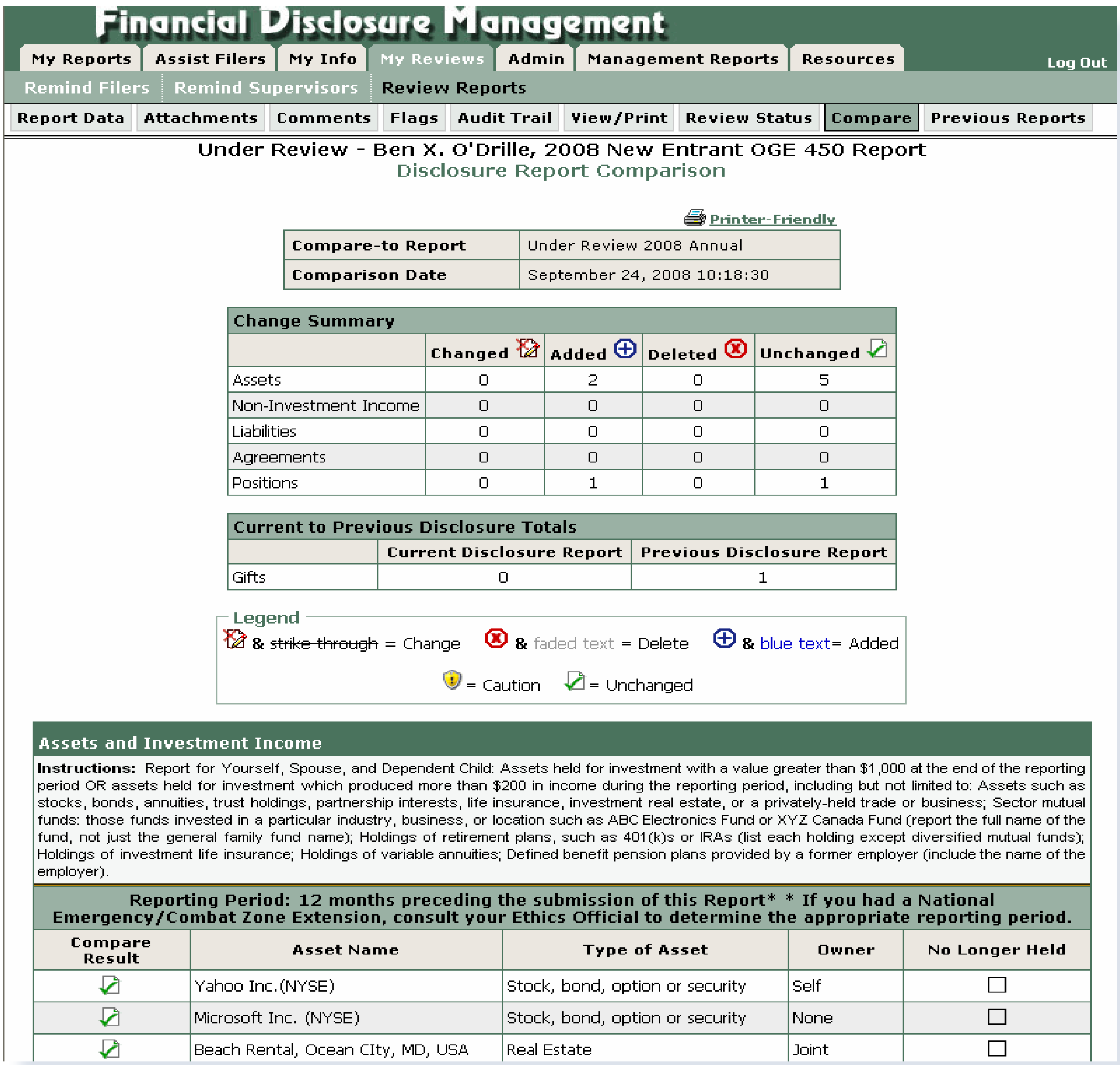
Compare a Prepopulated Report

Reviewers can easily compare changes/differences between last year's report and this year's on one page if the Filer prepopulated from a previous report in FDM.

Comparing Reports in FDM

1. Click **View** beside the appropriate report on the Review Filers | Reports List page.

2. Click **Compare**. The Disclosure Report Comparison page is displayed.



Financial Disclosure Management

My Reports | Assist Filers | My Info | My Reviews | Admin | Management Reports | Resources | Log Out

Remind Filers | Remind Supervisors | Review Reports

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Compare | Previous Reports

Under Review - Ben X. O'Drille, 2008 New Entrant OGE 450 Report

Disclosure Report Comparison

Printer-Friendly

Compare-to Report	Under Review 2008 Annual
Comparison Date	September 24, 2008 10:18:30

Change Summary

	Changed	Added	Deleted	Unchanged
Assets	0	2	0	5
Non-Investment Income	0	0	0	0
Liabilities	0	0	0	0
Agreements	0	0	0	0
Positions	0	1	0	1

Current to Previous Disclosure Totals

	Current Disclosure Report	Previous Disclosure Report
Gifts	0	1

Legend

& ~~strike-through~~ = Change & faded text = Delete & blue text= Added

= Caution = Unchanged

Assets and Investment Income

Instructions: Report for Yourself, Spouse, and Dependent Child: 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: Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business; Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name); Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds); Holdings of investment life insurance; Holdings of variable annuities; Defined benefit pension plans provided by a former employer (include the name of the employer).

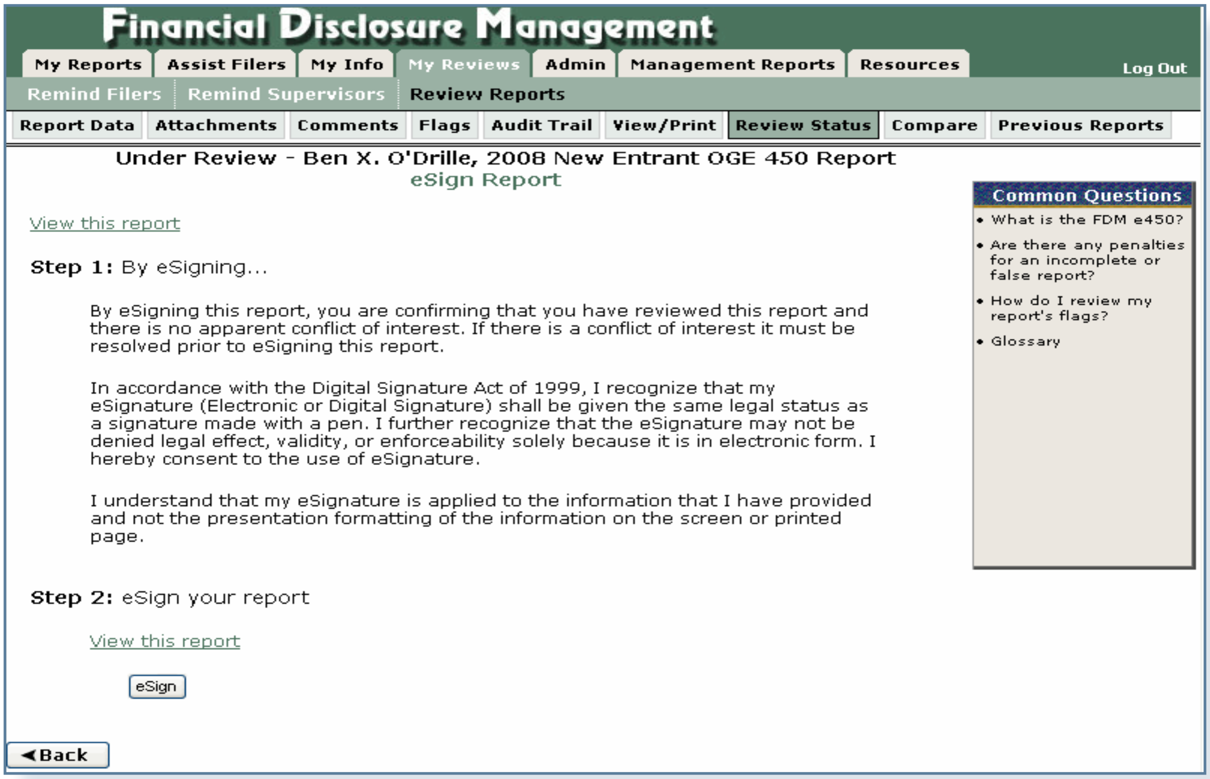
Reporting Period: 12 months preceding the submission of this Report* * If you had a National Emergency/Combat Zone Extension, consult your Ethics Official to determine the appropriate reporting period.

Compare Result	Asset Name	Type of Asset	Owner	No Longer Held
	Yahoo Inc.(NYSE)	Stock, bond, option or security	Self	☐
	Microsoft Inc. (NYSE)	Stock, bond, option or security	None	☐
	Beach Rental, Ocean CIty, MD, USA	Real Estate	Joint	☐

Transactions, Gifts and Compensations are not compared from the prepopulated report to the current report.

3. Review the report changes.

4. Click **eSign** at the bottom of the page to signify you have completed your review and are confident there are no conflicts of interest. The eSign Report page is displayed.



5. Click **eSign**. Your review has been recorded. The Review Filers page is displayed indicating that you have eSigned the report and it is ready for another reviewer's action.

6. Click the envelope icon on the Review Filer's page to notify the next reviewer that this disclosure report is ready for their review.

View or Print a Report

At any time, you can view and print a financial disclosure report. View/Print provides Filers and Reviewers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

Note: You may open the disclosure report through View/Print and then move to the specific Report Data section of the report to add a comment or check Flags.

Viewing a Report in FDM

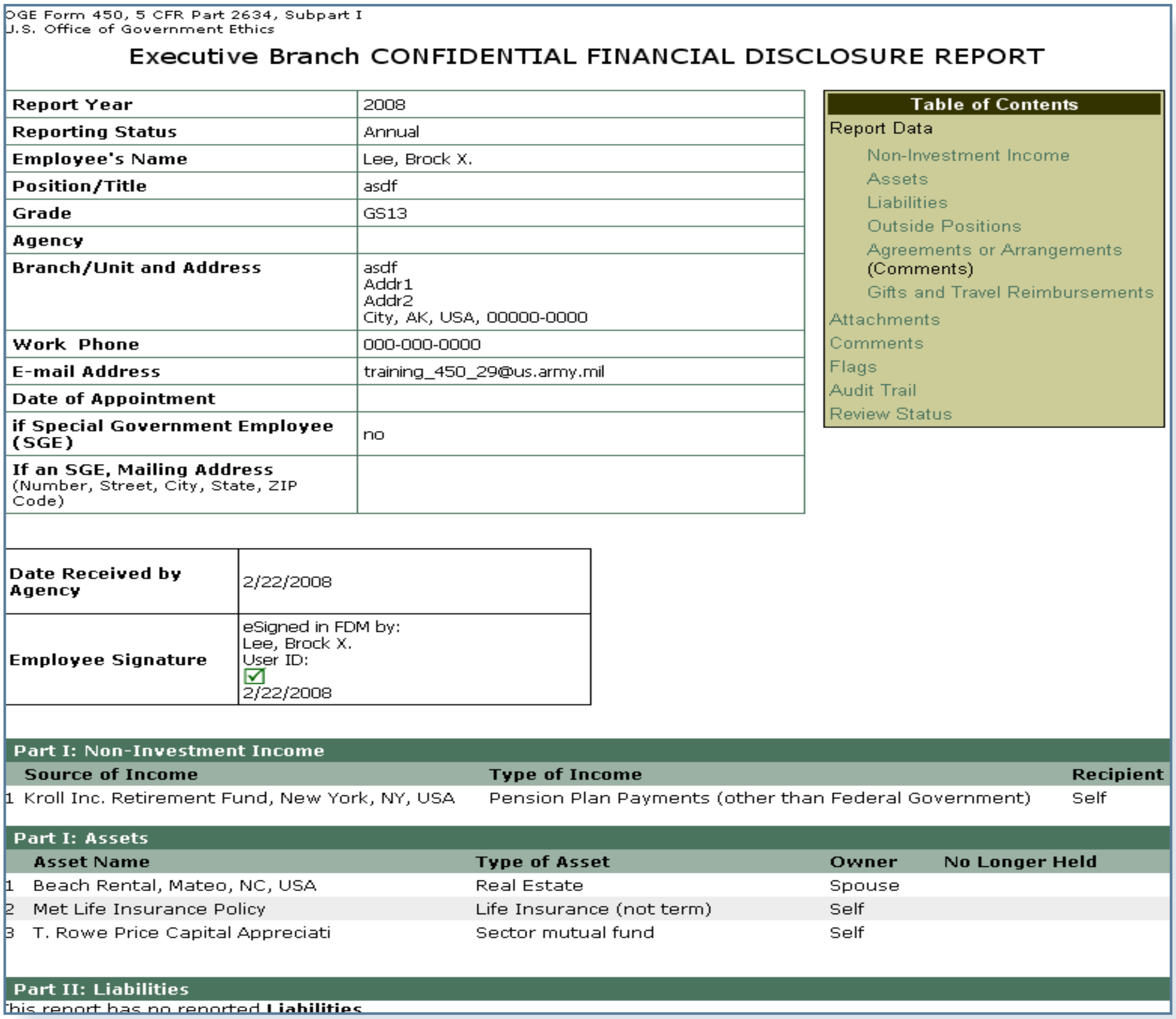
1. Click **View** beside the appropriate report on the Review Filers | Reports List page.

2. Click **View/Print**.

3. Click **View/Print** beside the financial disclosure report. The financial disclosure report displays in a separate browser window.

To view and print an OGE 450, pop-up blockers must be disabled.

The OGE 450 displays as a single web page.



OGE Form 450, 5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics

Executive Branch CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Report Year	2008
Reporting Status	Annual
Employee's Name	Lee, Brock X.
Position/Title	asdf
Grade	GS13
Agency	
Branch/Unit and Address	asdf Addr1 Addr2 City, AK, USA, 00000-0000
Work Phone	000-000-0000
E-mail Address	training_450_29@us.army.mil
Date of Appointment	
if Special Government Employee (SGE)	no
If an SGE, Mailing Address (Number, Street, City, State, ZIP Code)	

Table of Contents

Report Data
- Non-Investment Income
- Assets
- Liabilities
- Outside Positions
- Agreements or Arrangements (Comments)
- Gifts and Travel Reimbursements

Attachments
Comments
Flags
Audit Trail
Review Status

Date Received by Agency	2/22/2008
Employee Signature	eSigned in FDM by: Lee, Brock X. User ID: 2/22/2008

Part I: Non-Investment Income

	Source of Income	Type of Income	Recipient
1	Kroll Inc. Retirement Fund, New York, NY, USA	Pension Plan Payments (other than Federal Government)	Self

Part I: Assets

	Asset Name	Type of Asset	Owner	No Longer Held
1	Beach Rental, Mateo, NC, USA	Real Estate	Spouse	
2	Met Life Insurance Policy	Life Insurance (not term)	Self	
3	T. Rowe Price Capital Appreciati	Sector mutual fund	Self	

Part II: Liabilities

This report has no reported **Liabilities**

4. Select **File | Print** and then click **Print.**

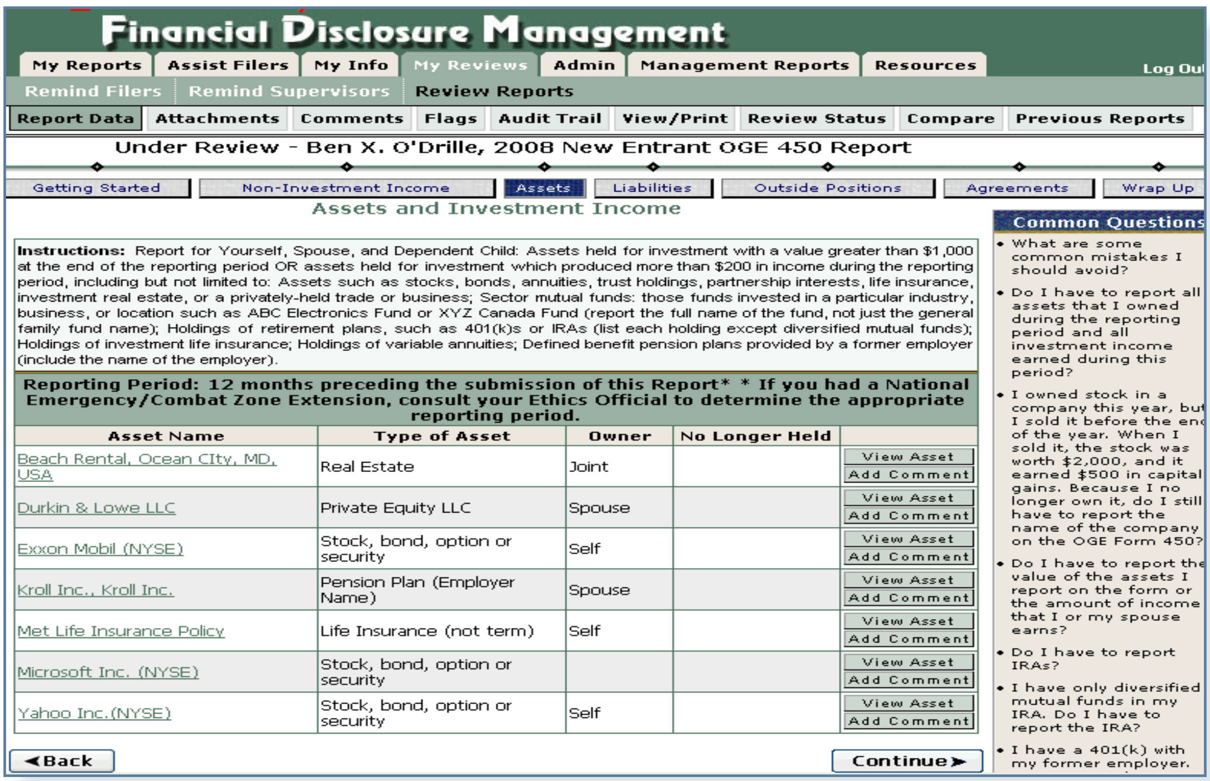
Report Data

Report Data is the main area used for viewing OGE 450 line items in FDM.

The process for viewing report data is the same no matter what type of information you need to review.

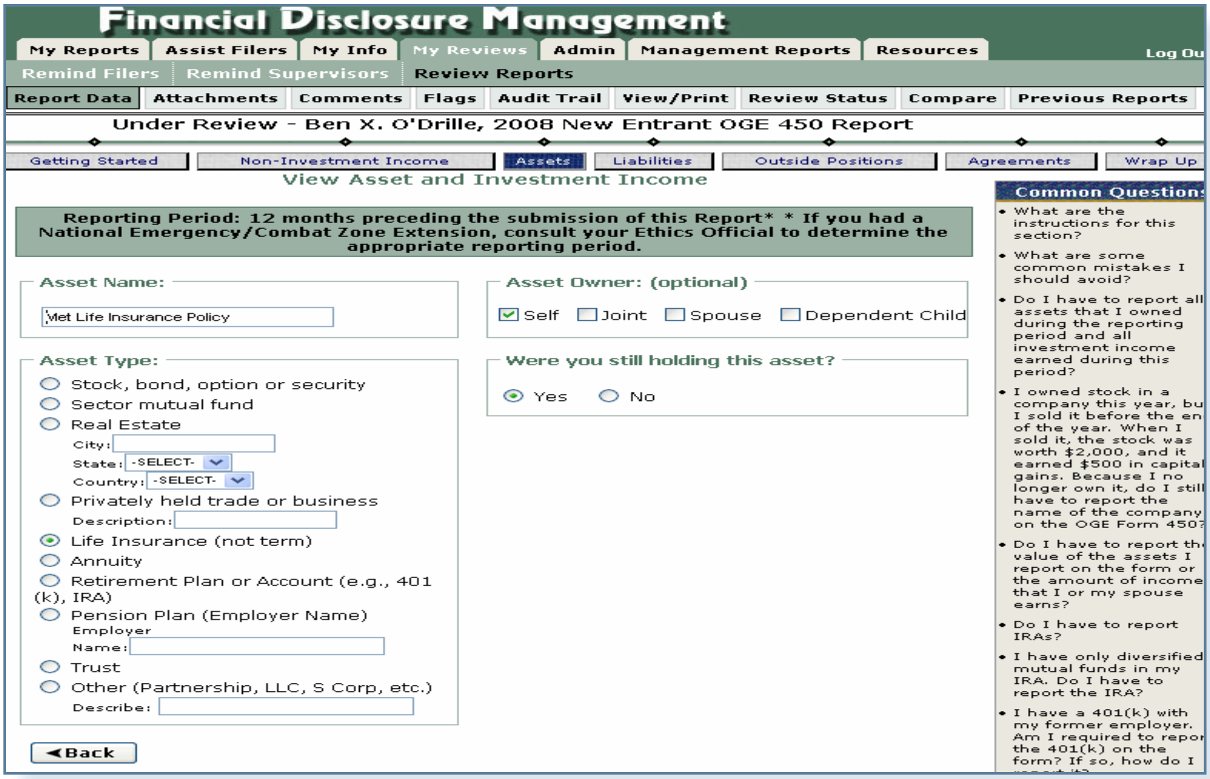
Viewing Line Items

Select the appropriate Report Data sections to view detail information and add comments to specific line items.



1. Select the appropriate Report Data sections and click **View** beside any line item to view the detail information.

- The same Report Data sections display for Filers and Reviewers.
- You can click the **Continue** button to page through the report or go directly to each report section



2. Review the information. Click **Back** when complete to add a line item comment or click through the other Report Data sections to review.

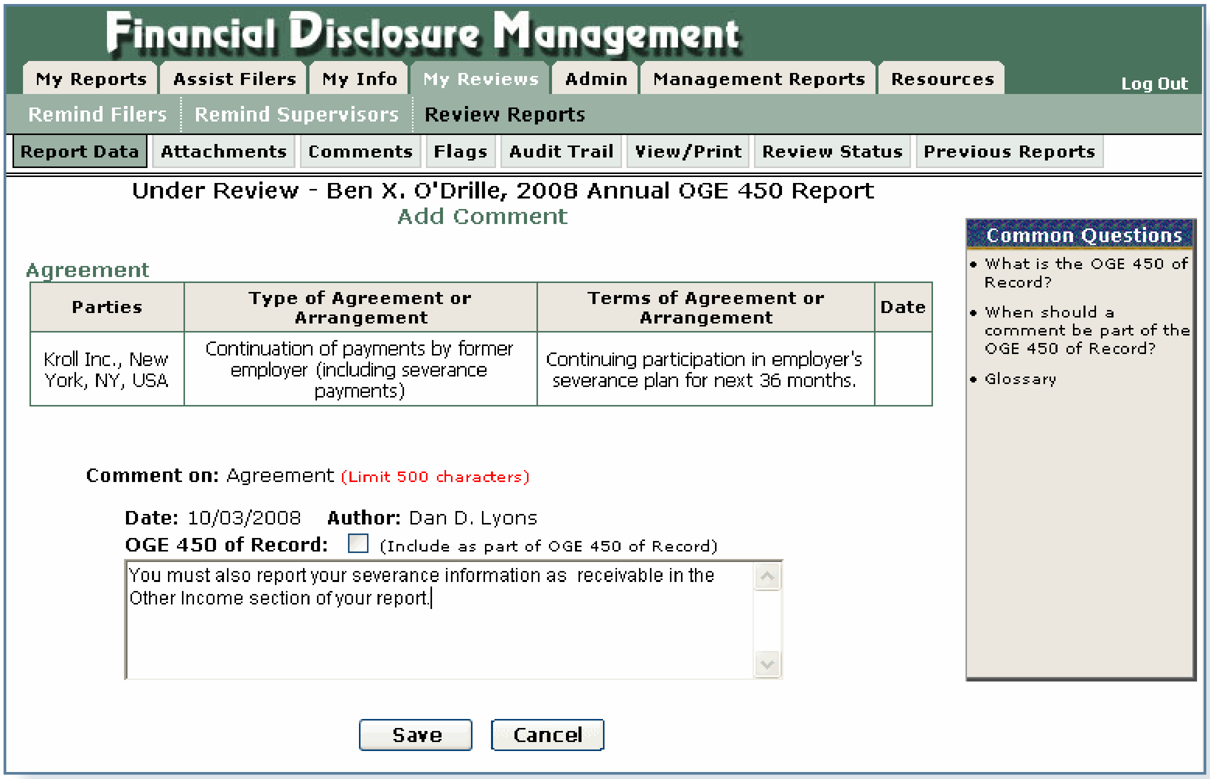
Report Comments

Adding Line Item Comments

Comments can be added to specific line items or to the OGE 450 report overall. A comment should be included as part of the OGE 450 of record, if it is a substantive comment that provides additional information, a clarification, or a correction that materially affects the data reported on the OGE 450.

1. Select the appropriate Report Data section.

2. Click **Add Comment** beside the appropriate line item in the Report Data. The Add Comment page is displayed.

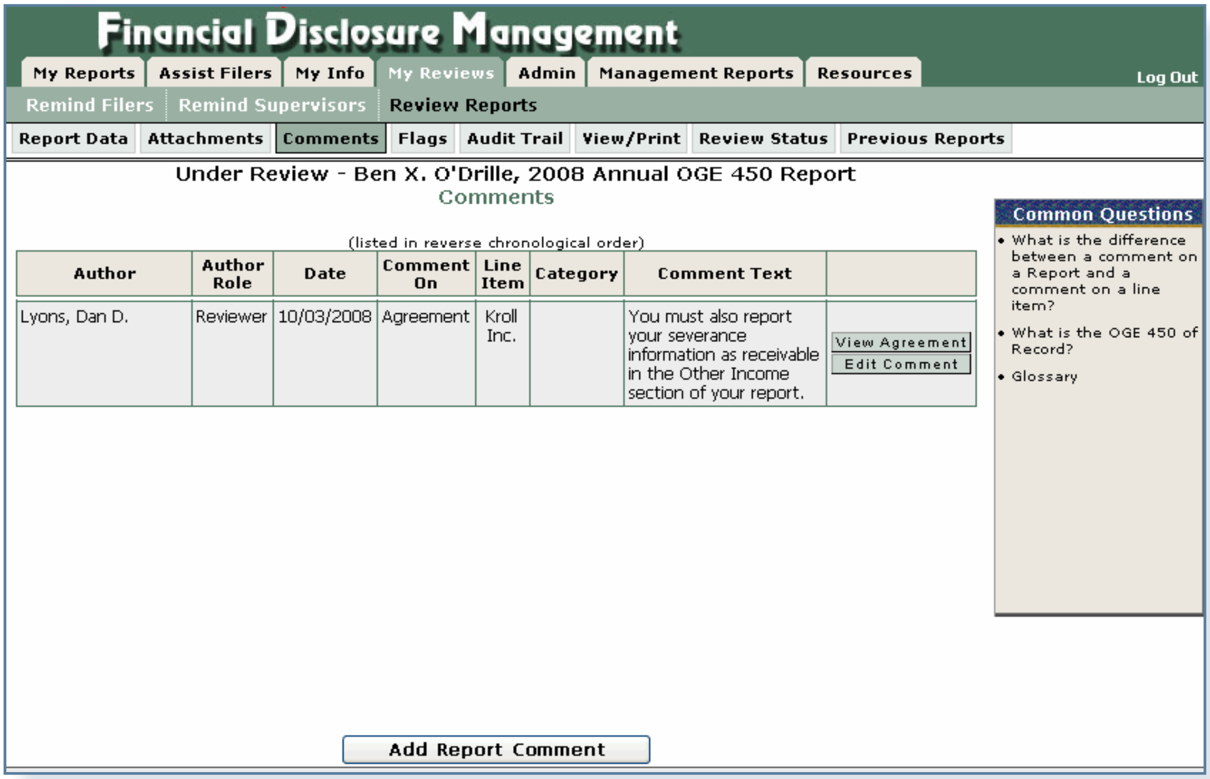


3. Review any existing Reviewer or Filer comments, type your comment and then click **Save.**

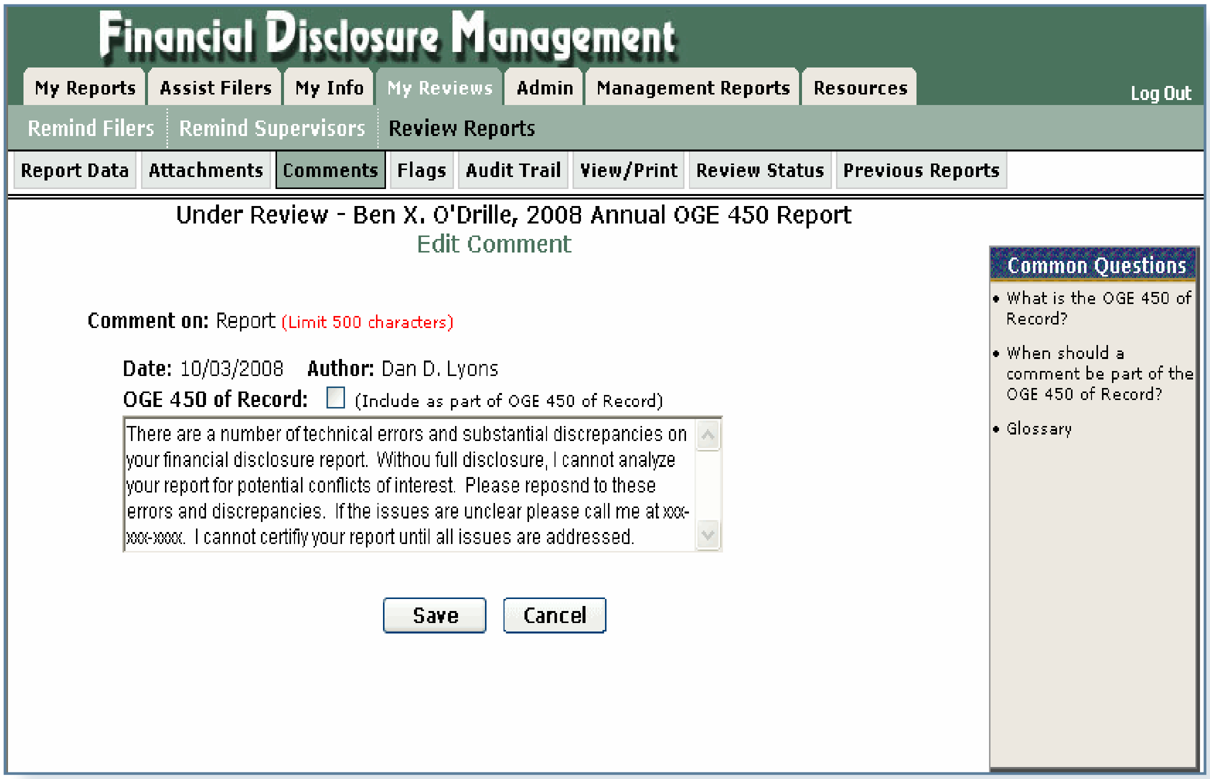
Only select, **Include as part of the OGE 450 of Record** if you want to include permanently with the report.

Adding a Report Comment

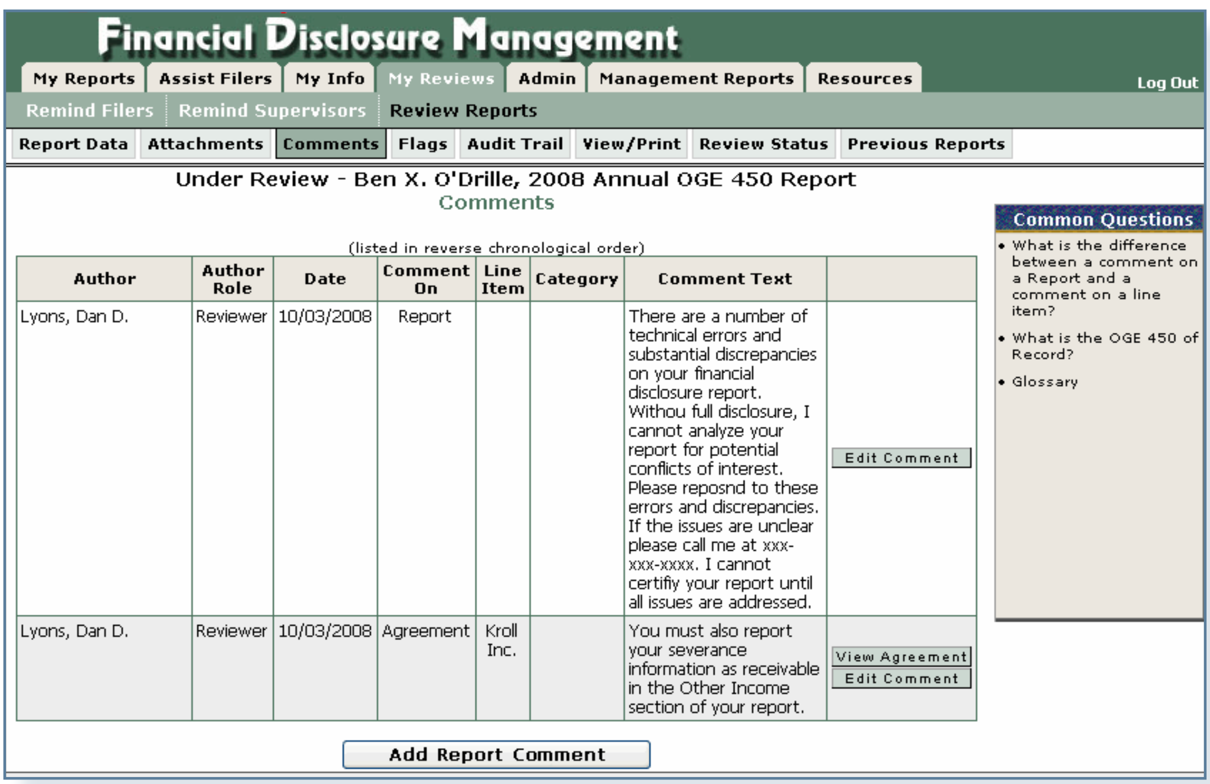
1. From anywhere within the Report Data, click **Comments** at the top of the page. The Comments page is displayed.



2. Click **Add Report Comment.** The Add Comment page is displayed.



3. Type your comment and then click **Save**. The Comments page is displayed.



Notes

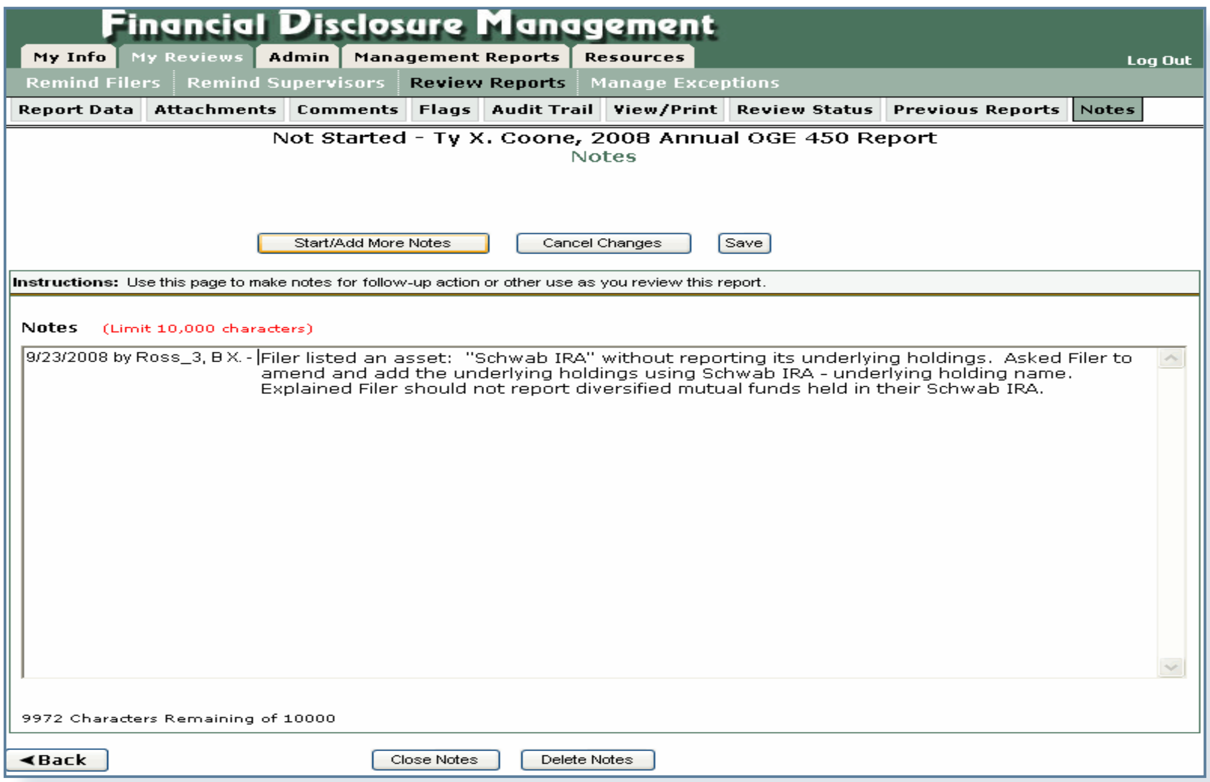
The Notes tool allows 450 certifiers to attach an electronic "post-it" note to a report to indicate that there are items within the Filers report that require a follow up before the report can be certified. Notes can be added at any time within the report review process.

These "Reviewer" notes do not appear on the Filer's report.

Once a Note is added, the report is moved from the 450 Certifier's Worklist to the Manage Exceptions list. Reports with Notes remain on the Manage Exceptions list until the report Note is Closed or Deleted. Supervisors will still see the report within their Worklist and can still conduct their review and eSign reports that have report Notes.

Adding a Note to a Filer's Report

1. Select the **Notes** tab.



2. Click **Start/Add More Notes** to add a note with a timestamp. A new section is added to the Notes box, displaying your user name and the current date.

3. Type your note and then click **Save.** The report is now moved from your Worklist to the Manage Exceptions list.

4. To add more report notes, click **Start/Add More Notes** again.

Editing Report Notes

You can edit any report Notes text at any time by clicking within the Notes textbox.

Close and Delete Report Notes

To remove a report from the Manage Exceptions list that has a report Note, a 450 certifier can:

- Close the existing Notes
- Delete the existing report notes

Closing and/or deleting report notes moves the report back to the 450 Certifiers Report Worklist.

Closing Report Notes

Close a report Note to indicate that the report is not ready for final review. Closing report Notes retains any notes that were added to the report for historical purposes.

Deleting Report Notes

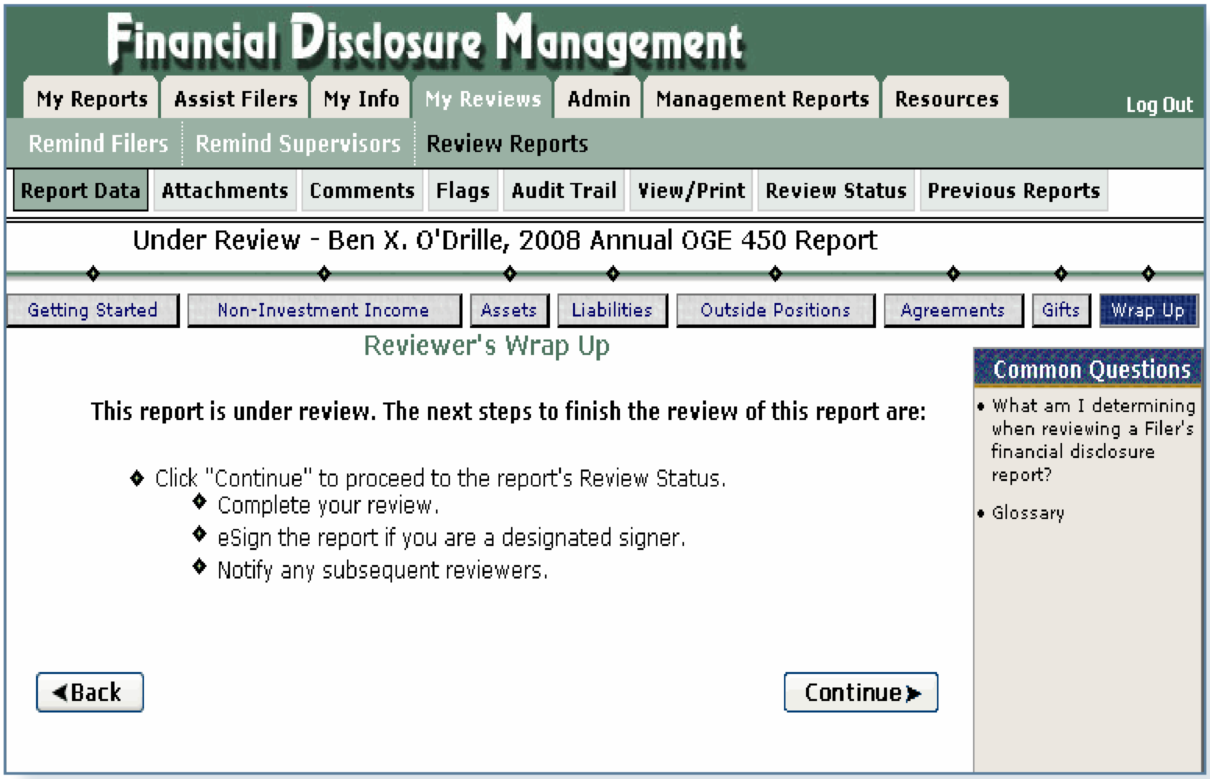
Deleting report Notes removes all report Note text. You can view the report's audit trail to determine if a report note was deleted.

Reviewer's eSign

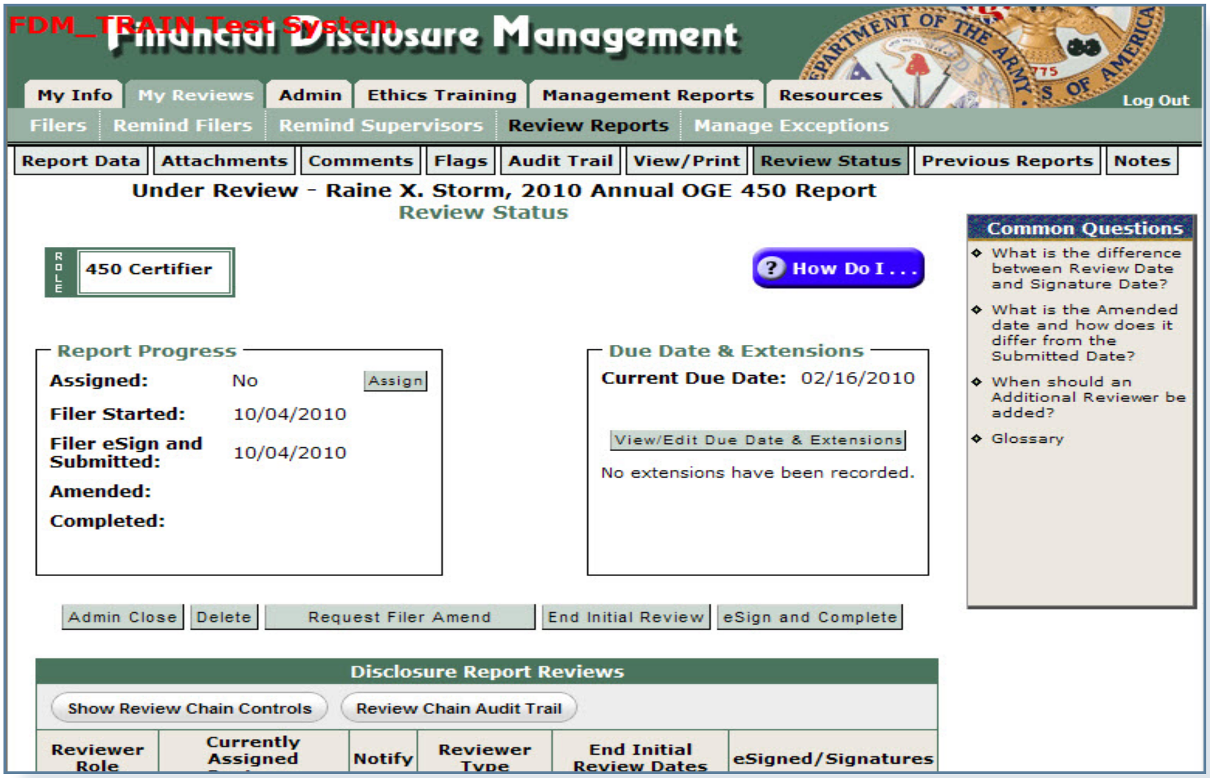
eSign, End Initial Review, Request Filer Amend Notify

As a Reviewer, when you "sign off" on a report it indicates you determined the Filer has no conflict of interest, or that conflicts of interests are resolved by the means authorized in the appropriate ethics rules. Before signing off on a report, you must take the appropriate steps to resolve any apparent conflicts of interest.

1. When you have completed your review, click **eSign** in the Report Data section.



2. If there are now flags to review, click **Continue**. The Review Status page displays.



At this point, you can opt to **End Initial Review, Request the Filer Amend, eSign** or **Notify** another Reviewer that you have completed your review of this financial disclosure report.

- Do not click eSign, if you want the Filer to make changes prior to you completing your review.

- For additional instructions on reviewing an OGE 450 report, go to the FDM Website and select Resources under Help & Support. https://www.fdm.army.mil/

Notifying the Next Reviewer

One reviewer may notify another reviewer to review a report by using the Notify feature on the Review Status page.

1. Click the envelope icon beside the next appropriate Reviewer of this report. An e-mail is automatically sent to the selected Reviewer indicating that the disclosure is awaiting their review in FDM.

Ending Initial Review

A reviewer can End Initial Review to signify that they have conducted an initial review of a financial disclosure report and stop the Days in Review counter. Ending Initial Review is not the same as eSigning a report in that it does not sign the report. You can still add comments to the disclosure after you have ended your review.

Note: To comply with the Office of Government Ethics' 60-day review requirement, initial review must be completed within 60 days after the Filer's report submission.

1. On the Review Status page, click **End Initial Review**. A message displays indicating that if the filer amends this report you will need to review the report again.
2. Click **OK** to end your initial review. The Review Status page is displayed.

Note: The Days in Review counter does not stop when a reviewer clicks the **End Initial Review** button. Days in Review only stops after a certifying authority eSigns and Completes a report.

Request Filer Amend a Report

450 Certifiers and their ECs can request a filer amend their report directly from FDM. FDM adds a report comment to the report once an amendment is requested. The reviewer can also add this comment as a Note for the report. The amendment request information then prepopulates into and e-mail that the reviewer sends to the Filer through the reviewer's e-mail application. Once the reviewer clicks Request Filer Amend, the report is only accessible on the Manage Exceptions page.

Note: Legal Reviewers can only request an amendment if the report has a status of Under Review.

1. On the Review Status page, click **Request Filer Amend**. The Add Report Comment and Note page is displayed.
2. Type any additional information in the comment about the requested amendment and then copy and paste this comment into the Notes text box.

3. Click **Continue**. Your e-mail client opens with a default message to the Filer about amending their report in FDM.

4. Click **Send.**

Determining if an Amendment was Requested

The Notes column on the Manage Exceptioins display of reports will reflect the most recent Note on a report. If that is the "amendment requested" note you will see it as shown below. To determine if an amendment was requested for a specific report:

5. Go to **My Reviews | Manage Exceptions.**

6. Click **View** beside the appropriate report.

7. Click the **Comments** tab to review the amendment request.

Note: A report that has an Amendment Request will remain on the Manage Exceptions list until the report is certified in FDM.

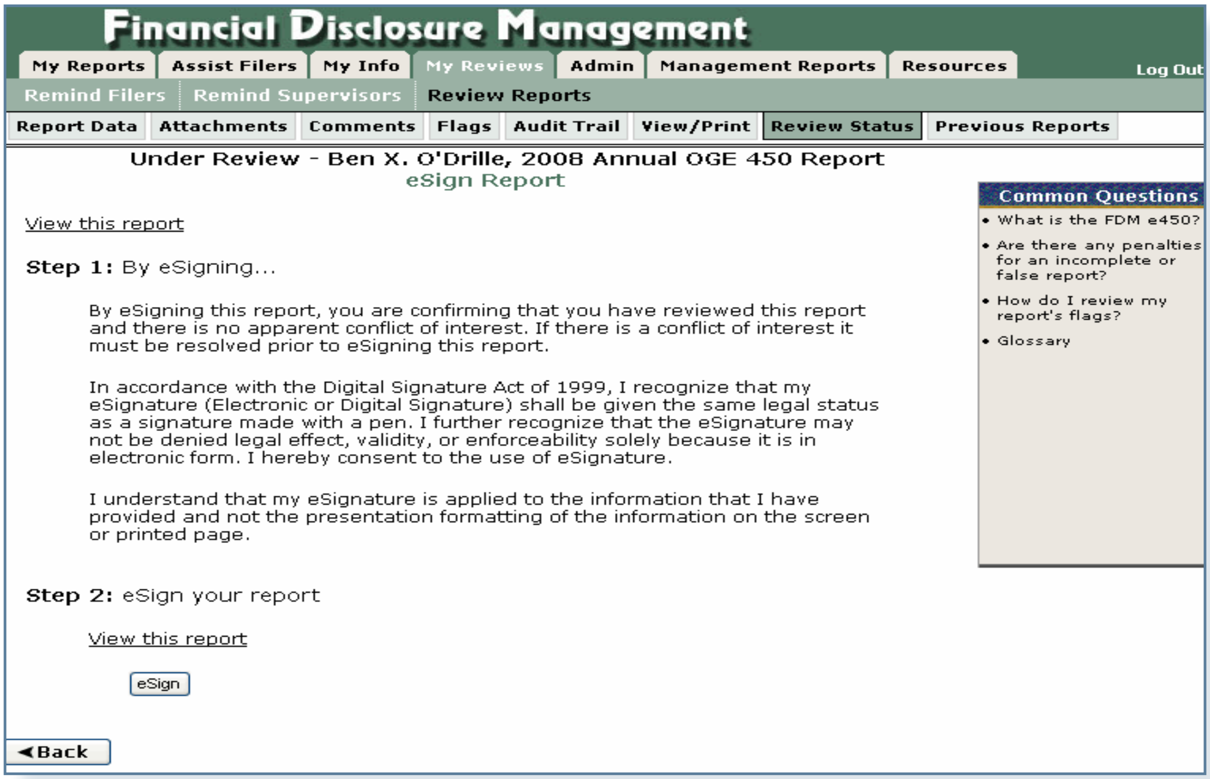
eSigning an OGE 450

Do not click eSign, if you want the Filer to make changes before you finish your review.

Although you can eSign the report from the Review Report page, it is recommended that you view the report to ensure that the corrections were made.

1. Click **eSign** at the bottom of the page to signify you have completed your review and are confident there are no conflicts of interest. A message confirming that you have reviewed this report and there are no conflicts of interest is displayed.

2. Click **OK.** The eSign Report page is displayed.



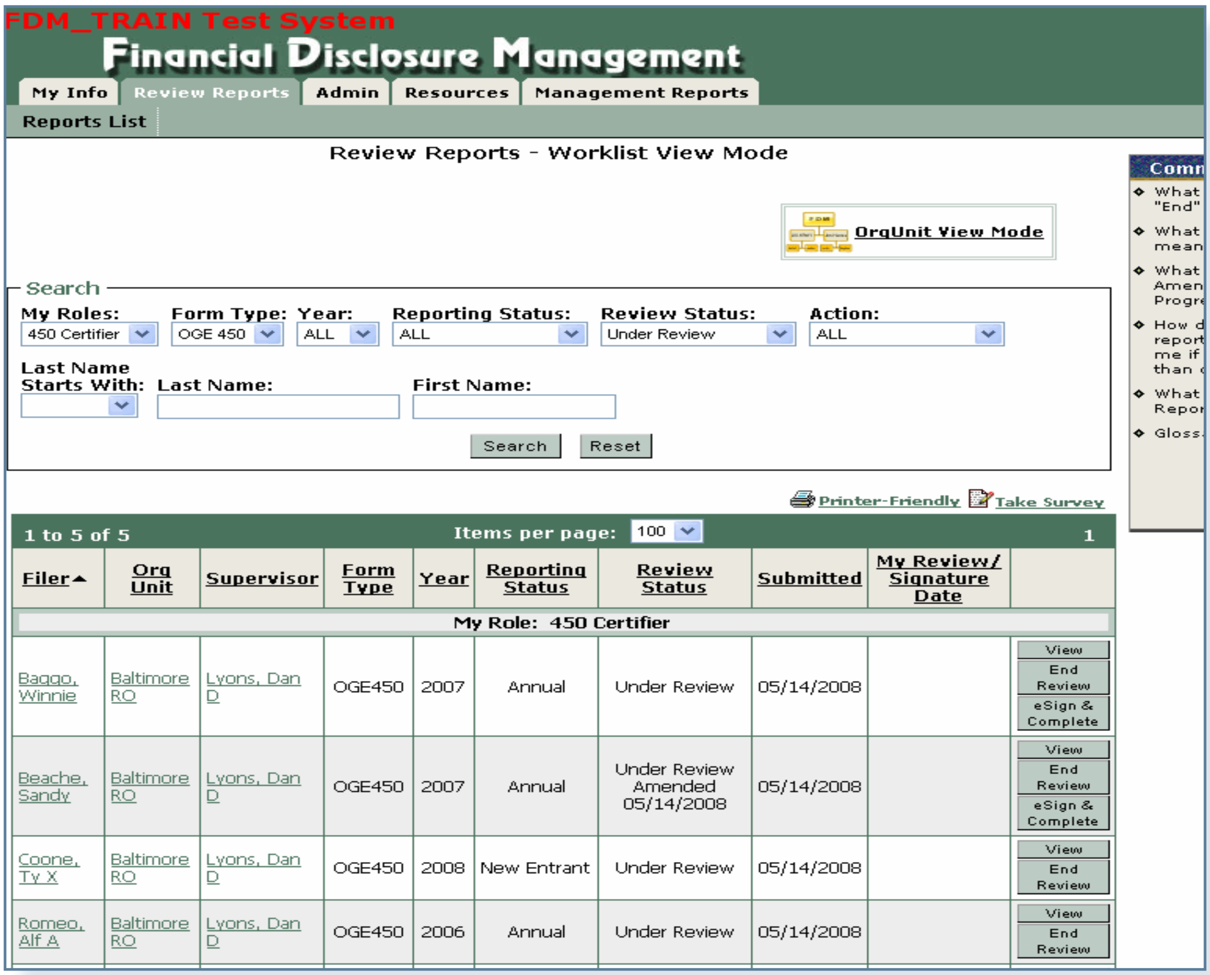
3. Click **eSign**. Your review has been recorded. The Review Status page is displayed indicating that you have eSigned the report and it is ready for another reviewer's action.

4. Click the envelope icon to notify the next reviewer that this disclosure report is ready for their review.

OGE 450 Certifying Authorities

FDM currently requires both the Filer's Supervisor and 450 Certifier to review and eSign a report before the review is considered complete.

OGE 450 Certifying Authorities may take one of four actions for a report that has a Review Status of Under Review: End Initial Review, Request Filer Amend, eSign and Complete and View. A 450 Certifier will not be able to eSign and Complete a disclosure report until it has been eSigned by the Supervisor.



Field	Description
End Initial Review	To signify that you have conducted an initial review of a financial disclosure report and stop the Days in Review counter.
Request Filer Amend	To notify a filer to amend their report directly from FDM.
eSign & Complete	To indicate the certifying authority certifies the OGE 450.
View	Allows you to review the financial disclosure report online.

Review an Amended Report

If you have reviewed an OGE 450 report and requested revisions, you will receive an e-mail notifying you of when the Filer has made the necessary corrections, signed and resubmitted his/her report for your approval.

The Supervisor must eSign the report again when a Filer amends a financial disclosure report in FDM.

Review Process Flow

The process for reviewing an Amended OGE 450 includes the following tasks:

The reviewer may receive an e-mail containing a request to review a Filer's financial disclosure report in FDM once a Filer has eSigned and submitted their report in FDM.

Reviewing an Amended OGE 450
◆ The Reviewer identifies the Filers who need their report reviewed in FDM.
◆ The Reviewer gathers any review aids for reference such as, the Filer's previous financial disclosure report, ethics agreements, agency list of contractors, etc.
◆ The Reviewer logs in to FDM.
◆ The Reviewer tracks Filer reporting activities.
◆ Reviewer reviews their Review Reports list.
◆ Reviewer selects a report to review.
◆ Reviewer checks the report's Audit Trail
◆ Reviewer eSigns and ends their review.
◆ Reviewer makes/adds comments where necessary.
◆ Reviewer eSigns and ends their review. Note: An e-mail notification is sent to the selected reviewers indicating that they can begin their review process.

List Only Disclosures that you need to eSign

1. In the Search area select the following and click **Search.**

- ROLE - Supervisor, 450 Certifier
- FORM TYPE OGE 450
- YEAR - The report year
- REPORTING STATUS- All
- REVIEW STATUS - Under Review
- ACTION - Action Required

Note: To list the amended reports at the top of your list, click the Review Status column title.

You will notice the Review Date for the report you previously reviewed is crossed out. This indicates that the report was amended and needs to be reviewed once again.

2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

Disclosures are grouped by your FDM role.

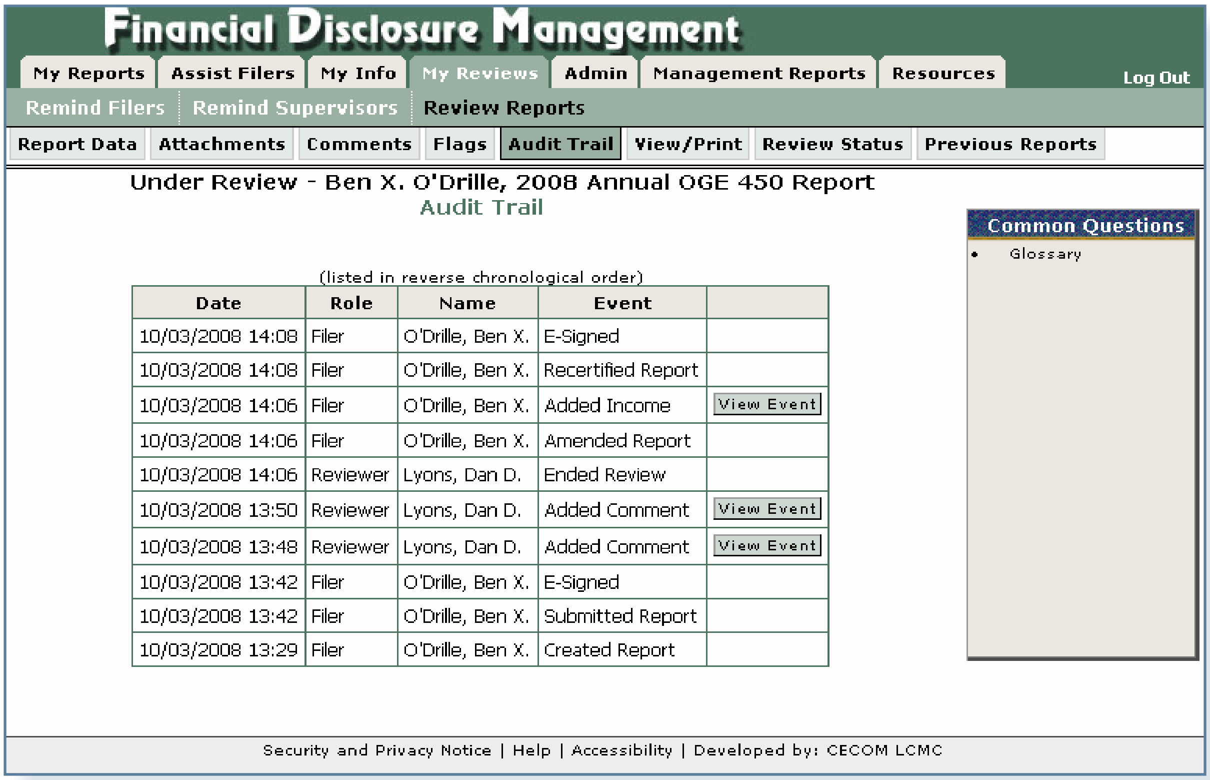
If you have multiple FDM roles you may see that same disclosure listed two or more times on the Worklist page until you have completed your reviewing activity for that disclosure in one of your FDM roles.

Reviewing a Report's Events

Audit Trail

In FDM, the Audit Trail time stamps report activities. Review the Report's Events to verify if your recommended changes where made by the Filer. Review the Report's Events to verify if your recommended changes where made by the Filer.

3. Click **Audit Trail.** The Audit Trail page is displayed.



4. Review the Report's Events to verify if your recommended changes where made.

5. Click **View Event** to view an event's details.

Reviewer's eSign

6. Click **Report Data** and then **eSign**. The Reviewer's eSign page is displayed.

7. Click **Continue**. The Review Status page is displayed.

8. Click **eSign**.

9. Click **Notify** to let the next reviewer know this disclosure report is ready for their review.

10. Click **Report List** to continue reviewing financial disclosure reports in FDM.

Administratively Closing a Report

Administratively closing a report will reduce the effort in managing the OGE 450 filing process by 'hiding' reports which should not or cannot be certified. Only 450 Certifiers, 450 Certifier ECs, 450 Certifier Assistants, can perform this function.

Incomplete or Not Started Reports

When a Filer is assigned a report, the expected outcome is a certified report. However, there are instances where the Filer does not start or complete the report. For example, the Filer has moved out of that organization where the report was originally assigned or has started a report that has not been assigned and should not be filing a report.

There are also instances where a reviewer has not signed off on a submitted report, and the report never progresses to final legal certification.

Using Manage Exceptions to Locate Reports

The majority of these reports will appear on the Manage Exceptions List. However, some reports that may have to be administratively closed can appear on the Reports Worklist (a report assigned or started erroneously that is not 30 days past due). This new functionality enables certain reviewers to remove these reports from their worklist. However, this report *WILL* display on the Review Reports - Org Unit View mode.

When a report is administratively closed, the following applies:

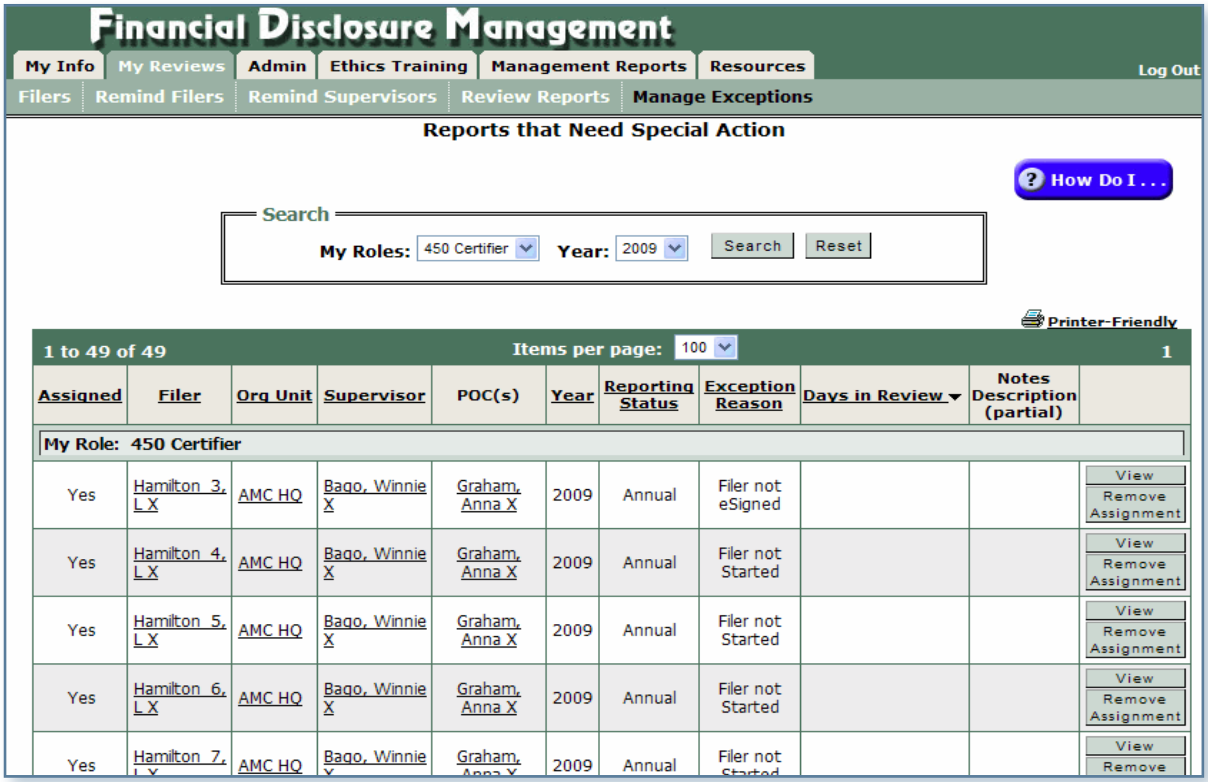
- All Reviewer actions (excluding "Complete Without Signature") are enabled for a report based on its review status.
- The Filer of a report that is administratively closed will still have the capability to take action (edit, submit, amend, and recertify) on the report.
- Administratively closed reports will appear on the Filer's list of their reports and can be used to prepopulate.
- If an administratively closed report with a status of "Draft" or "Amendment in Progress" does get submitted/recertified by the Filer, the report will no longer be marked as administratively closed.
- If the certifying official certifies an administratively closed report, the report will no longer be marked as administratively closed.

Administratively Close a Report

To close a report:

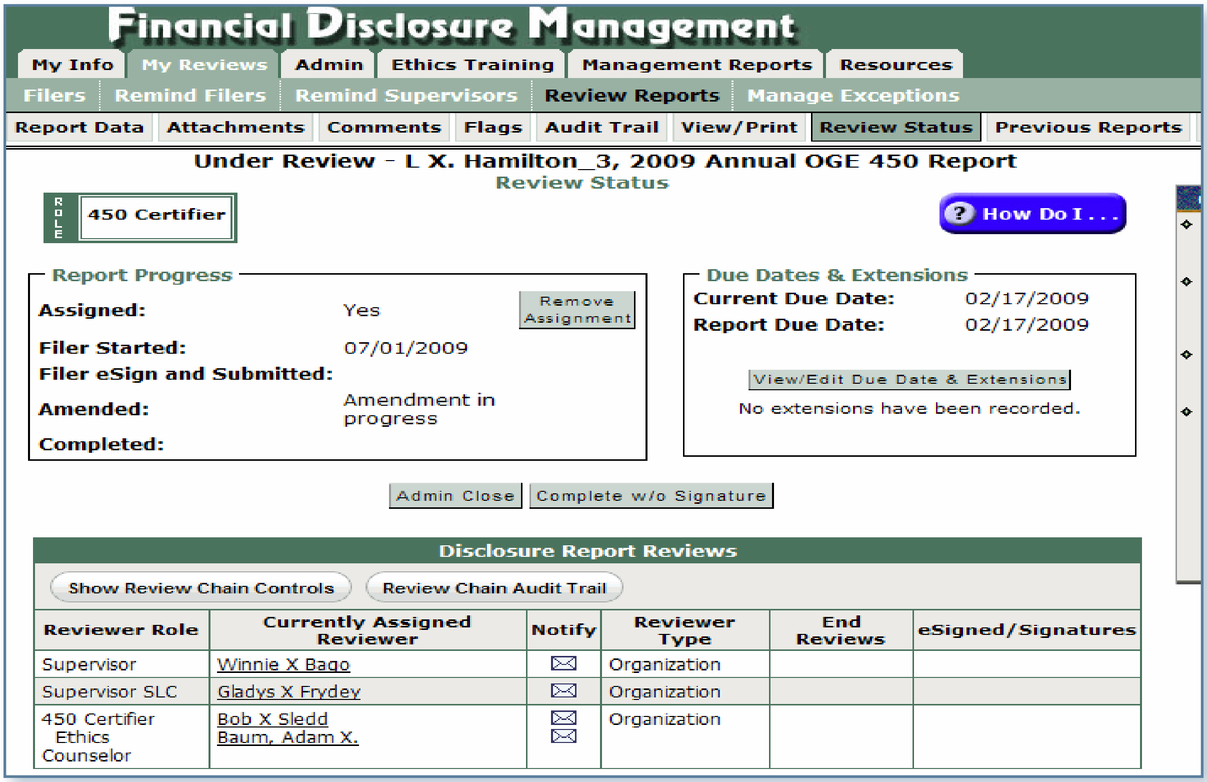
1. Select the **My Reviews / Manage Exceptions** tabs. The Reports that Need Special Action page is displayed.

2. Set the search criteria to the appropriate Role and Year, and then click on the **Search** button. Results of the search criteria are displayed.



3. Click on **View** next to the report you wish to close. The Getting Organized page is displayed.

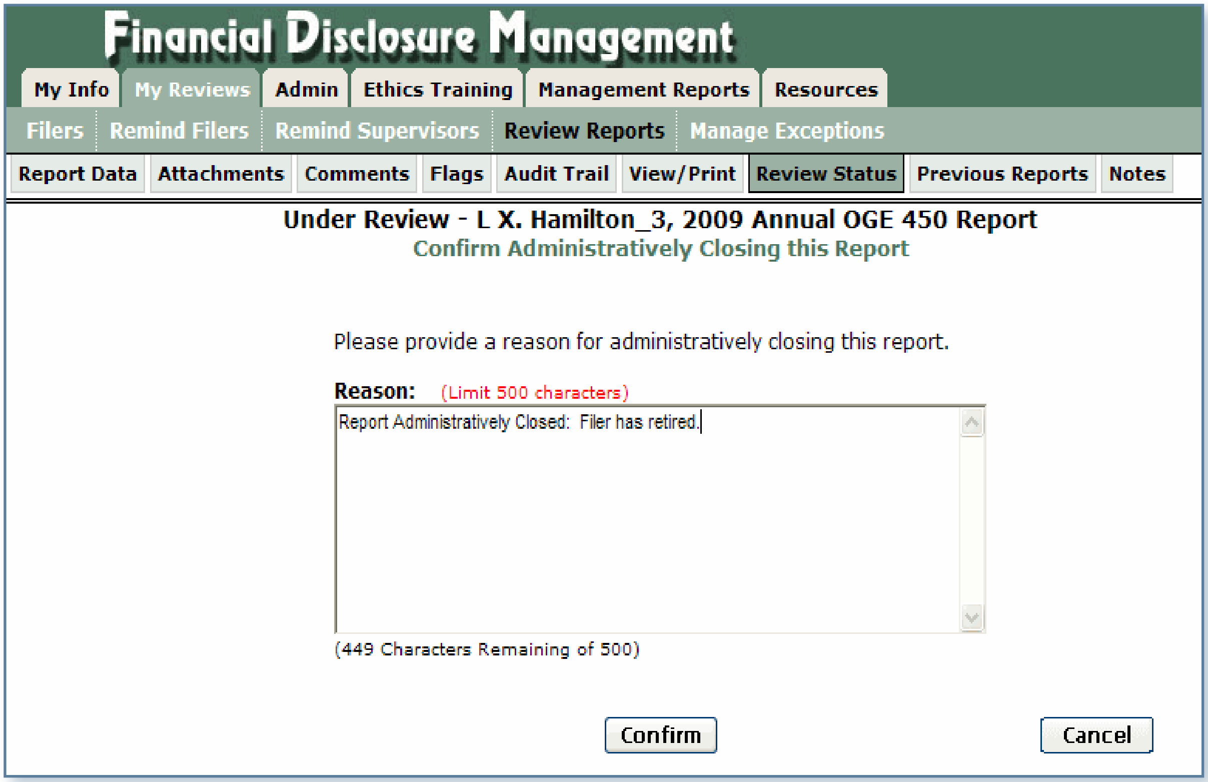
4. Click on the **Review Status** tab.



5. On the Review Status page, click on the **Admin Close** button. The Confirm Administratively Closing this Report page is displayed.

6. Enter a reason for closing the report in the **Reason** text box.

7. If the report should be counted as an assigned report for compliance purposes, select the **Yes** radio button. In most cases, **No** would be selected and is the default.



8. Click on the **Confirm** button. A message displays confirming that you wish to close this report.

9. Click **OK**. You return to the Review Status page. The report has been administratively closed.

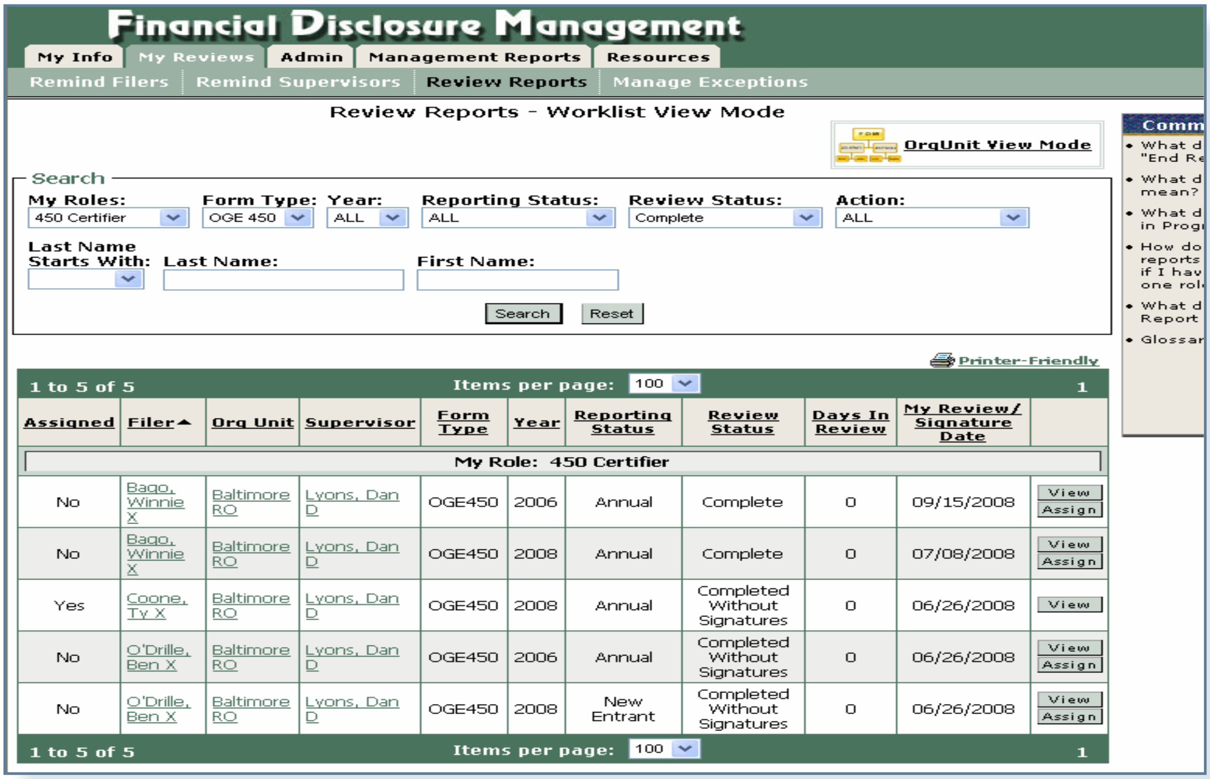
Supplemental Report Comments and Attachments

At times, reviewers may want to include additional report information after a report review is complete (e.g., a disqualification, an ethics agreement). In FDM, Supervisor reviewers, 450 Certifiers, 450 Certifier ECs and 450 Certifier Assistants can add this supplemental information through report comments and report attachments.

Important Information

- Adding supplemental information to a completed report does not remove any of the report signatures or change the report's status in FDM.
- Only the person who attached or added the supplemental item can replace/edit or delete it.
- Supplemental items are not part of the "report of record" and therefore do not print on the e450 report.

Adding Supplemental Information


Financial Disclosure Management

My Info | My Reviews | Admin | Management Reports | Resources

Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Reports - Worklist View Mode

OrgUnit View Mode

Search

My Roles: 450 Certifier | Form Type: OGE 450 | Year: ALL | Reporting Status: ALL | Review Status: Complete | Action: ALL

Last Name Starts With: | Last Name: | First Name:

Search | Reset

Printer-Friendly

1 to 5 of 5 Items per page: 100 1

Assigned	Filer	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days In Review	My Review/ Signature Date	
My Role: 450 Certifier										
No	Bago, Winnie X	Baltimore RO	Lyons, Dan D	OGE450	2006	Annual	Complete	0	09/15/2008	View Assign
No	Bago, Winnie X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Complete	0	07/08/2008	View Assign
Yes	Coone, Ty X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Completed Without Signatures	0	06/26/2008	View
No	O'Drille, Ben X	Baltimore RO	Lyons, Dan D	OGE450	2006	Annual	Completed Without Signatures	0	06/26/2008	View Assign
No	O'Drille, Ben X	Baltimore RO	Lyons, Dan D	OGE450	2008	New Entrant	Completed Without Signatures	0	06/26/2008	View Assign

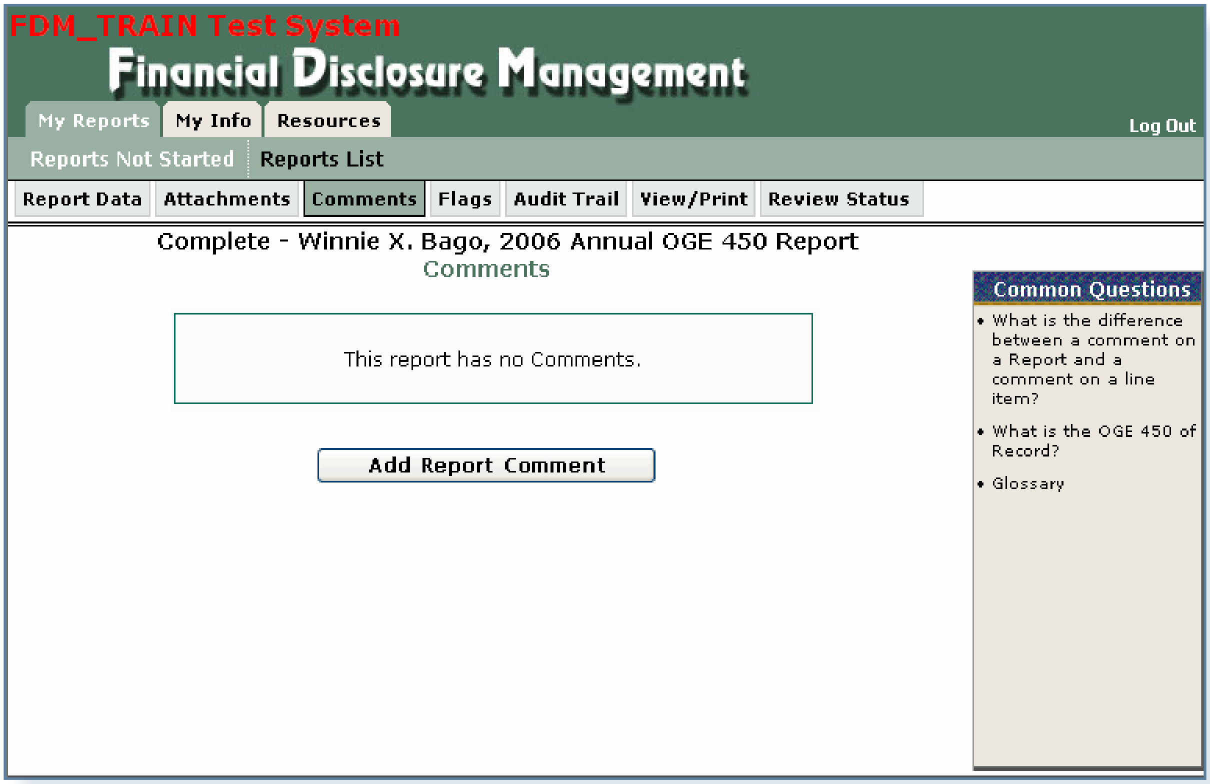
1 to 5 of 5 Items per page: 100 1

1. In the Search area select the following and click **Search.**
   - ROLE - Supervisor, 450 Certifier, 450 Certifier EC, 450 Certifier Assistant
   - FORM TYPE - OGE 450
   - YEAR - The report year
   - REPORTING STATUS- All
   - REVIEW STATUS - Complete
   - ACTION - All
2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

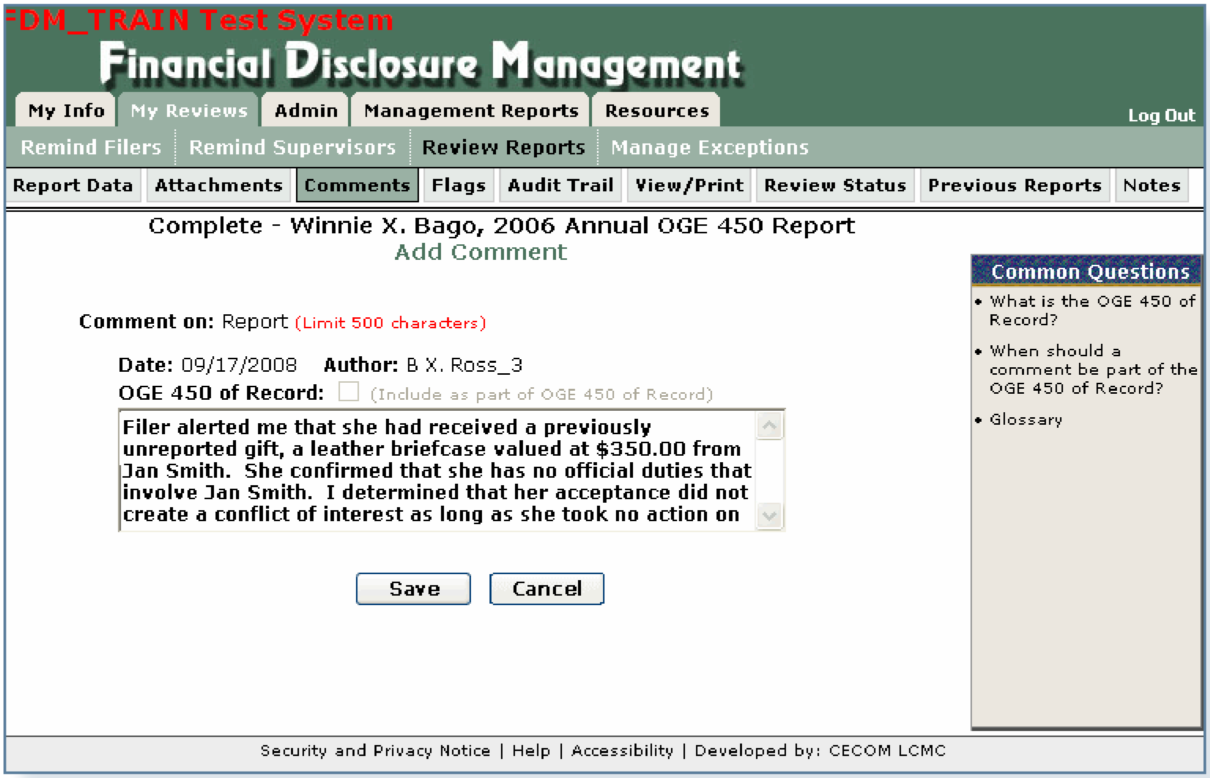
At this point, you can add either additional report comments or attachment that provides additional information, a clarification, or a correction to your completed report.

Supplemental Report Comments

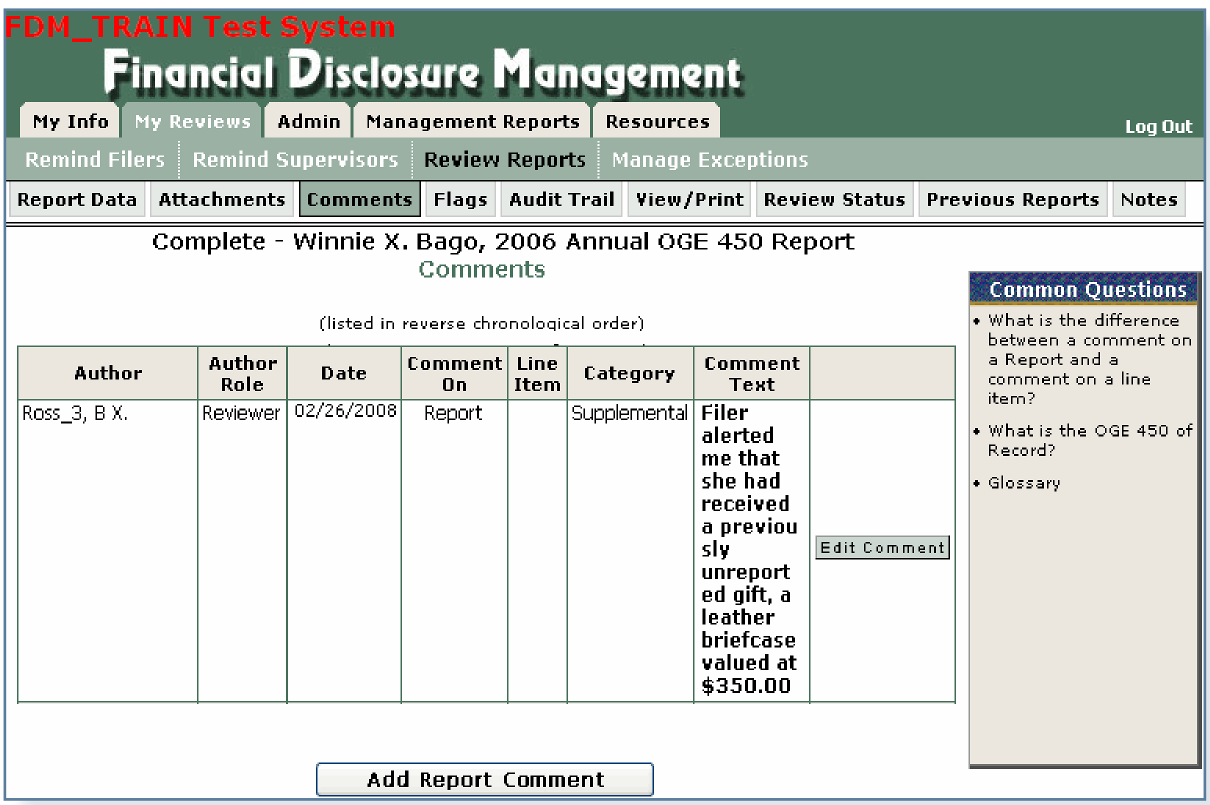
1. Click the Comments sub-tab. The Comments page is displayed.



2. Click **Add Report Comment**. The Add Comment page is displayed.

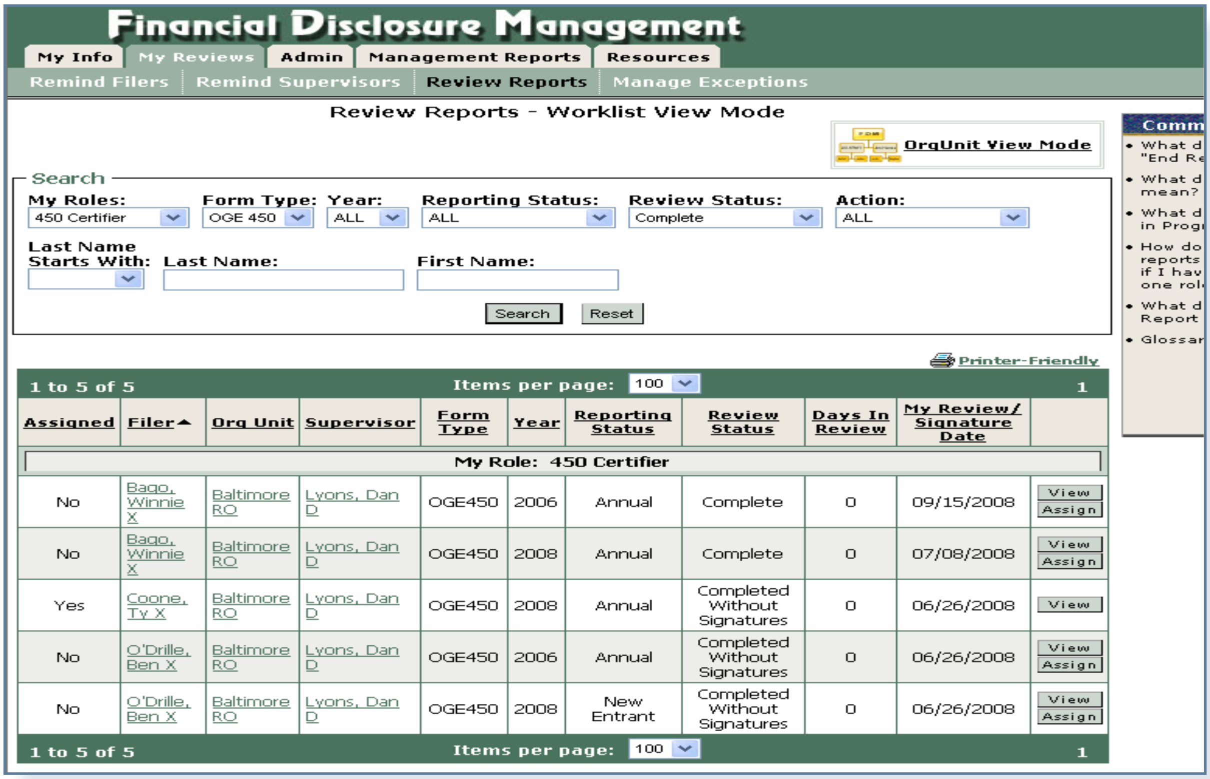


3. Type your comment and then click **Save.** The Comments page is displayed.



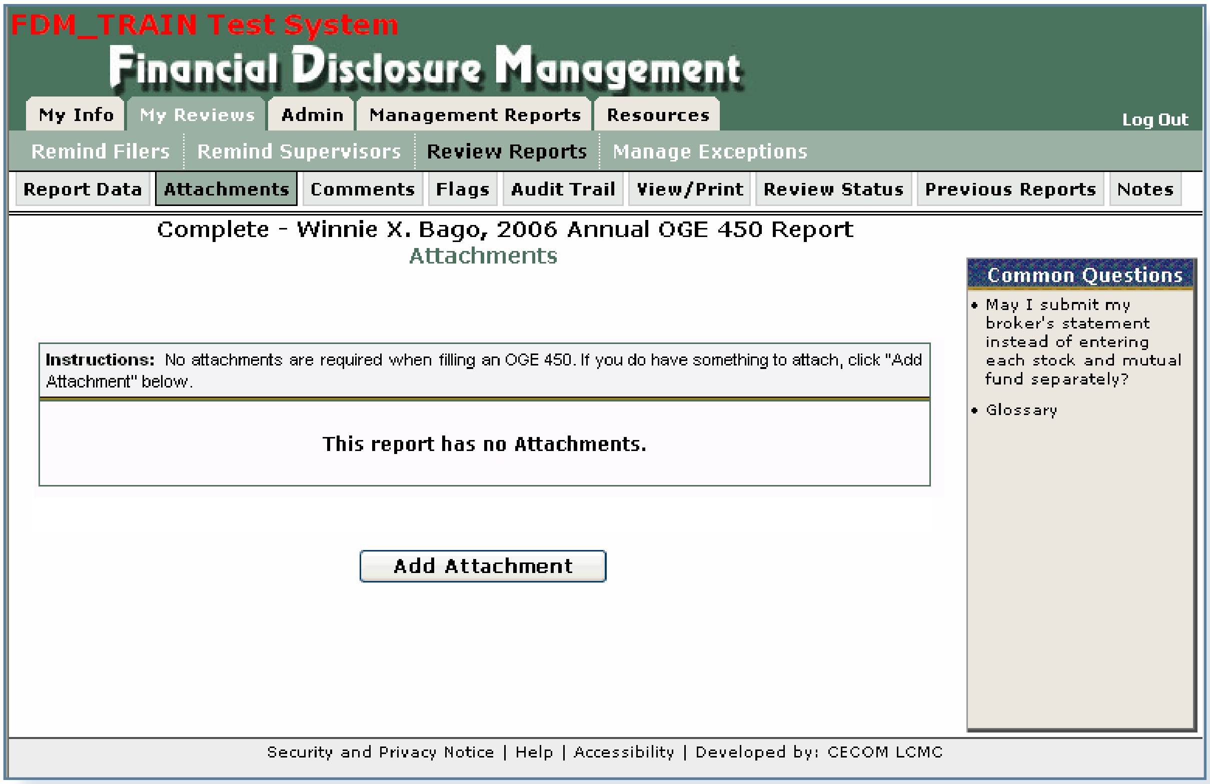
At this point you can edit the comment you just added or add any additional report comments. Report comments cannot be deleted.

Supplemental Report Attachments

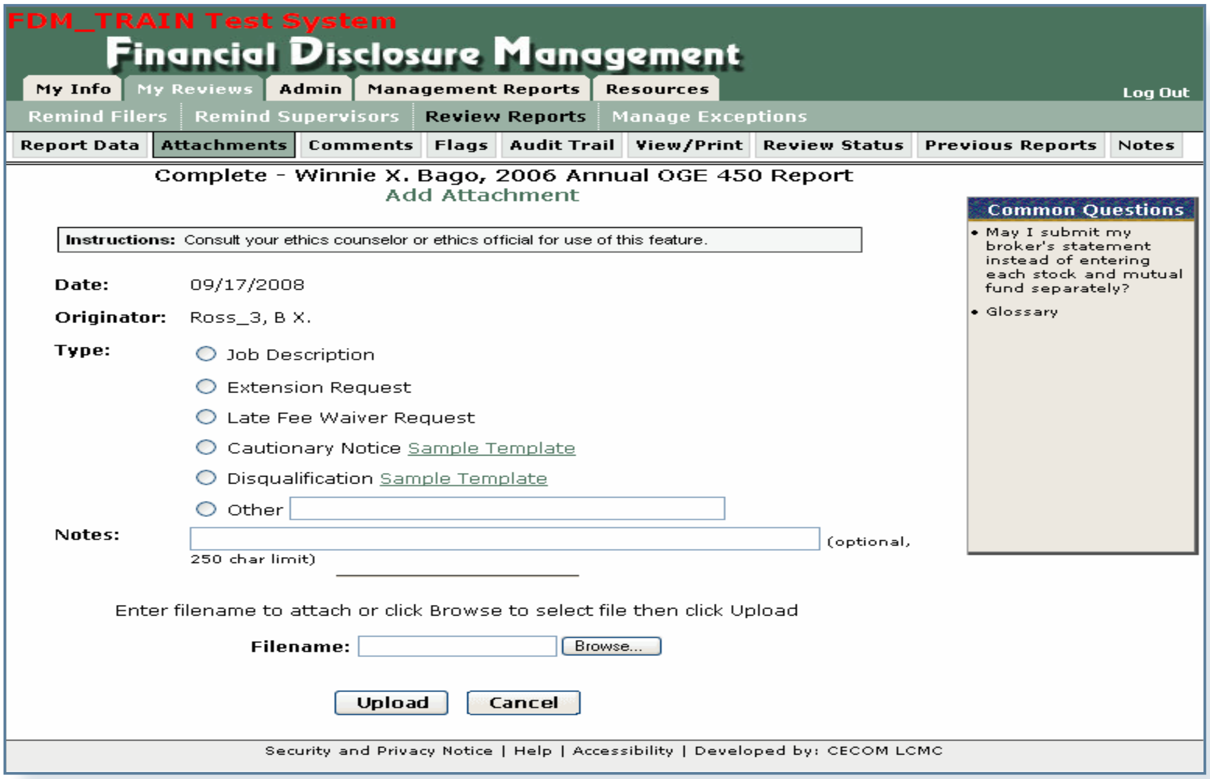


1. In the Search area select the following and click **Search.**
   - ROLE - Supervisor, 450 Certifier, 450 Certifier EC, 450 Certifier Assistant
   - FORM TYPE - OGE 450
   - YEAR - The report year
   - REPORTING STATUS- All
   - REVIEW STATUS - Complete
   - ACTION - All
2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

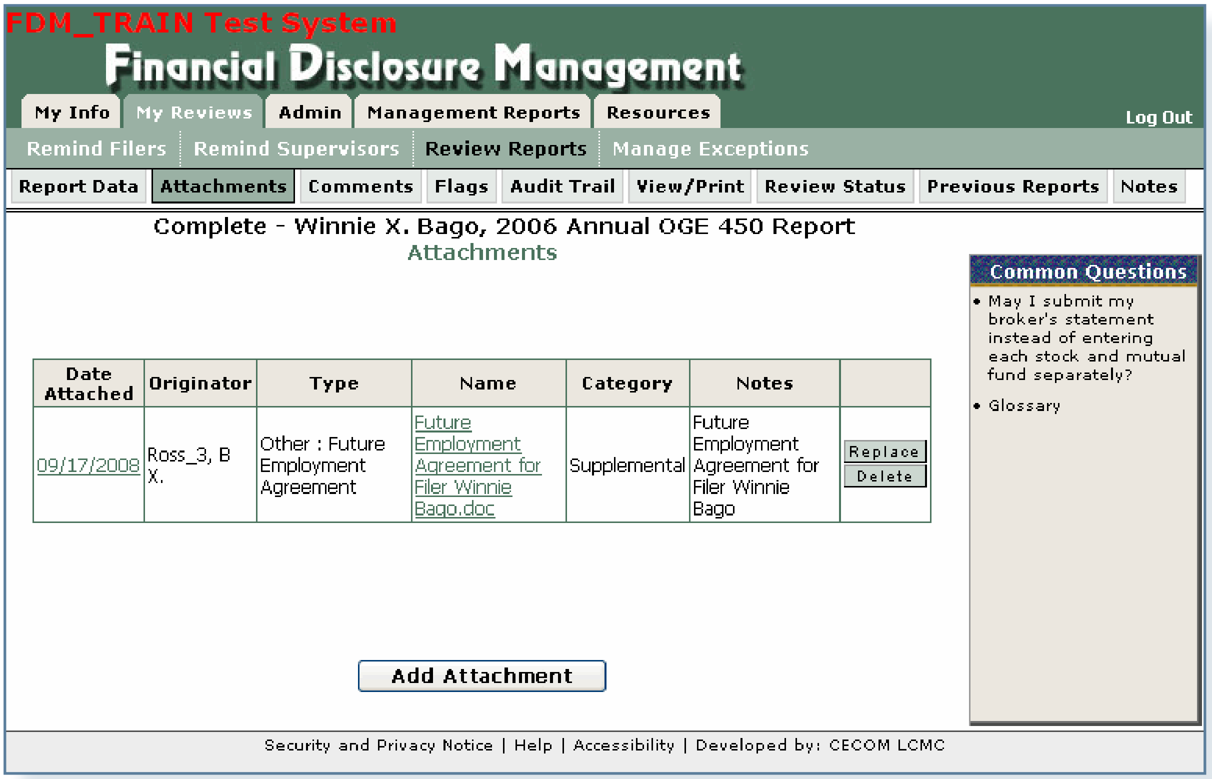
3. Click the **Attachments** sub-tab. The Attachments page is displayed.



4. Click **Add Attachment**. The Add Attachment page is displayed.



5. Select the Attachment Type and then type a brief description of your file in the Notes field.
6. Click **Browse** to locate the file you wish to upload to your financial disclosure report.
7. Once you have found the file, click **Upload**. The Attachments page displays.



At this point, you can Replace, Delete any existing attachments or add a new attachment.

8. Click **Continue** and then click **Save.** The Comments page is displayed.

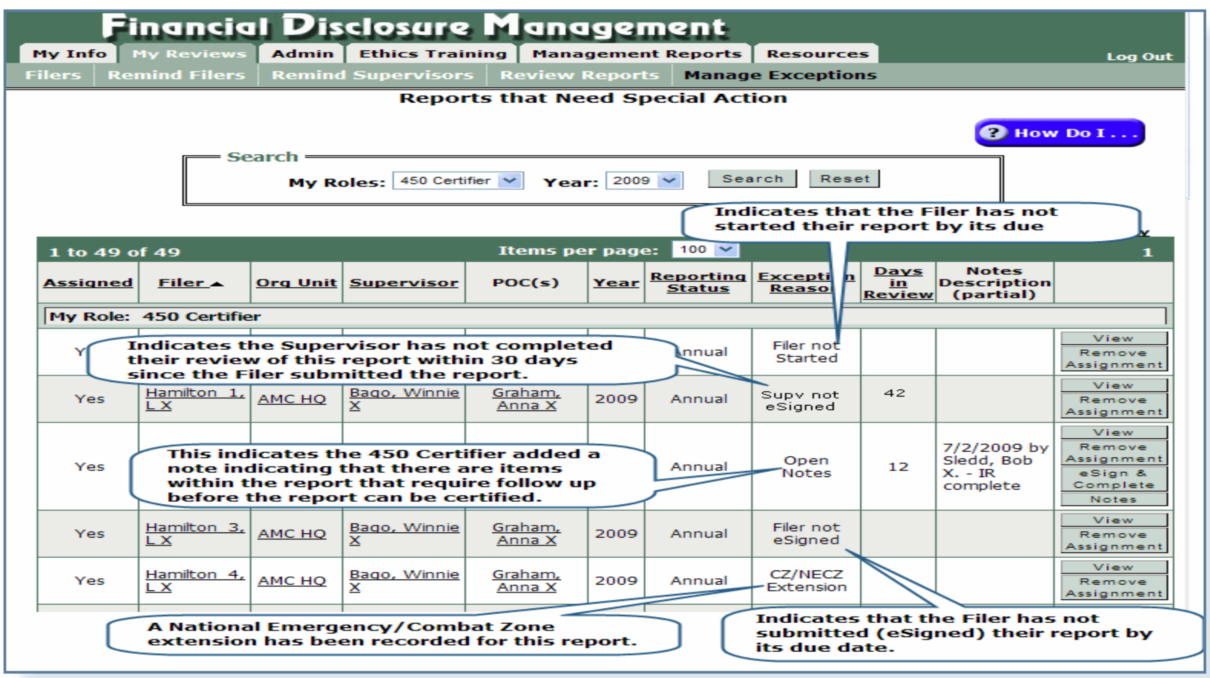
At this point, you can edit the attachment you just added or add any additional report attachment.

Manage Exceptions

The Manage Exceptions tool allows 450 Certifiers to track Filer and Supervisor Reviewer compliance and to manage reports that require any special action(s).

Reports display on the Manage Exceptions list if:

- OPEN NOTES - The Report has existing Notes that are not "Closed."
- CZ/NECZ Extension – A National Emergency/Combat Zone extension has been recorded for the report.
- Filer not eSigned - The Filer has not submitted the report in FDM by the report's due date.
- Supv not eSigned - More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the Supervisor has not eSigned.
- Filer not Started – The Filer has not started entering data into their report by the report's due date.



Reviewing Options for Reports that Need Special Action

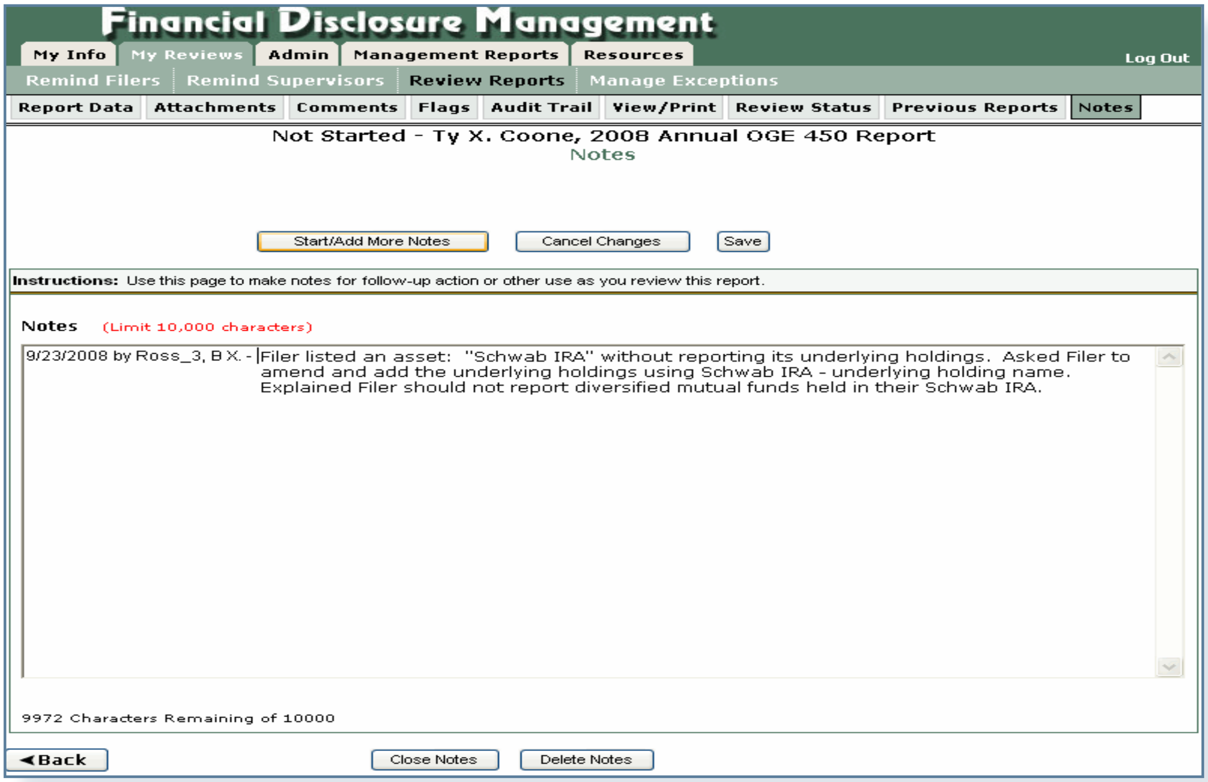
From the Reports that Need Special Action page you can:

View	Allows you to review the financial disclosure report online.
Assign	Allows you to assign the report to the Filer for compliance purposes
Remove Assignment	Filers are no longer required to file.
End Initial Review	To indicate that they have conducted an initial review of a financial disclosure report.
Notes	To view any open notes for the report.
eSign	When you have completed your review and are confident there are no conflicts of interest.

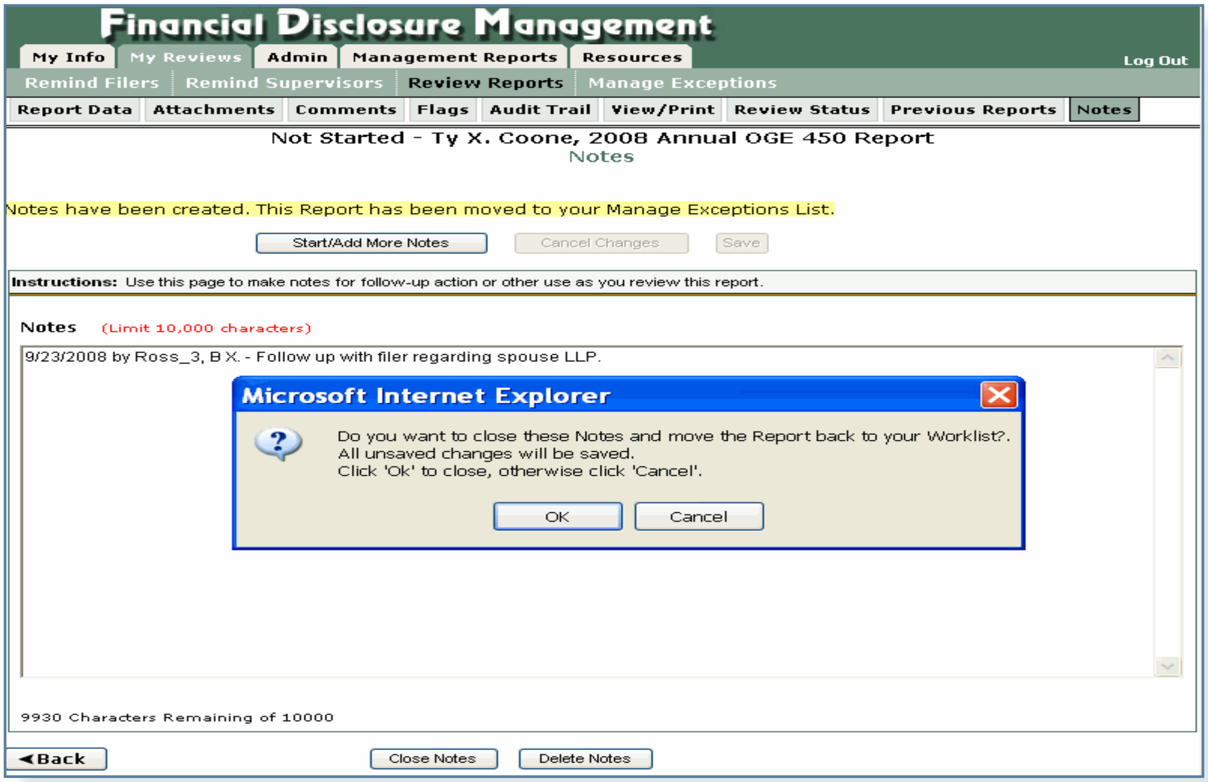
Reviewing Reports with Notes

To complete your review of a report with notes on the Manage Exceptions list:

1. If a Note exists for the report, click **Notes** beside the appropriate report. The Notes page is displayed.



2. Review the notes. When complete, you can click either **Close** or **Delete Notes** to indicate that the report review can now be completed. A confirmation message is displayed indicating the report will now move back to your Reports Worklist.



3. Click **OK.**

If the report is ready for certification, i.e., the Filer and Supervisor have eSigned:

4. Select the **Review Status** tab. The Review Status page is displayed.

5. Click **eSign** and **Complete.** Your review has been recorded and the Note is closed for the report.

Deleting a Report

450 Certifiers and their ECs can delete or remove OGE 450 reports that are unneeded, erroneous, and/or "Admin Closed." This feature allows you to get rid of abandoned Draft reports left in FDM after a Filer was deleted, as well as incomplete reports that will never be completed and those reports that are "Admin Closed.

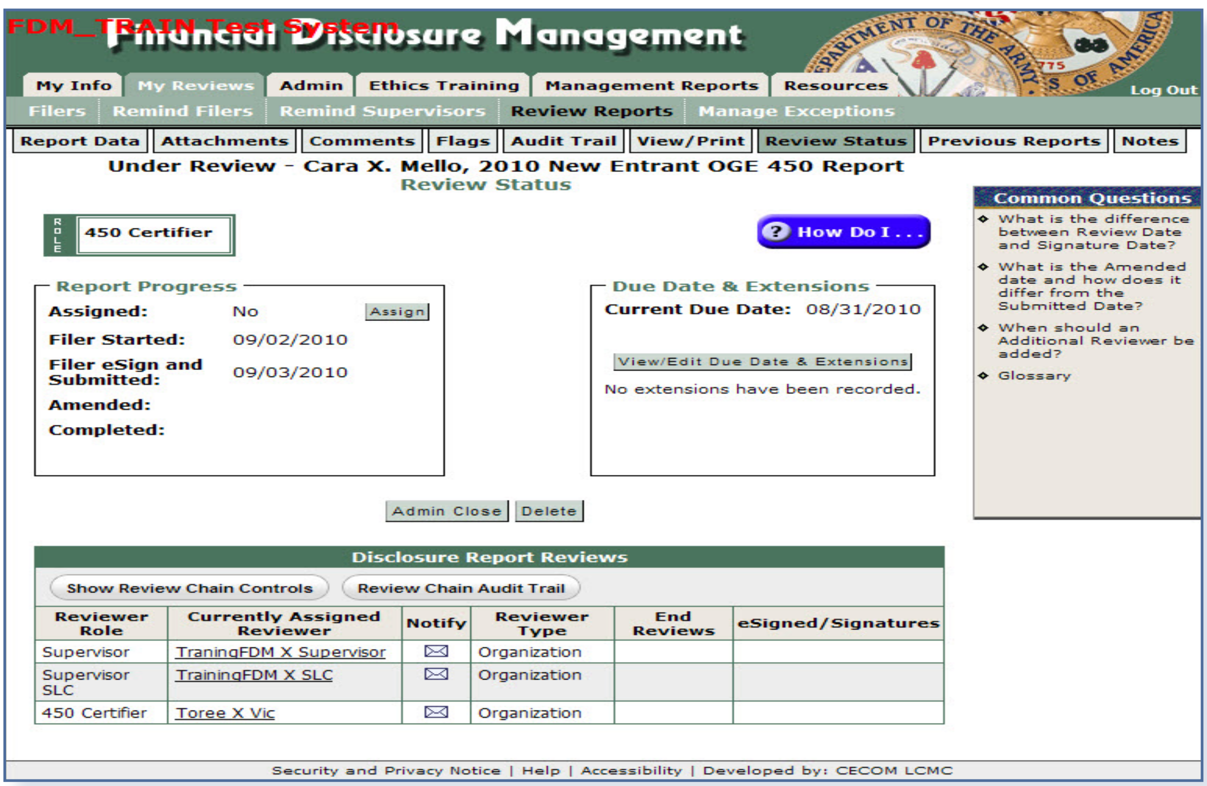
A report is eligible for deletion if:

- the report has a Review Status of Certified Complete and the date is six years after the last Filer eSign date.
- the report has a Review Status of Completed without signature and the date is six years after the report completion date.
- the report has a Review Status of Draft.
- the report has a Review Status of Under Review.

Note: Once a report is deleted from FDM, it cannot be recovered.

To delete a report from the Reports Worklist View or Org Unit view:

1. Click **My Reviews | Review Reports.**
2. In the Search area select the appropriate filers and click **Search.**
3. Click on **View** beside the report you wish to delete.
4. Click on the **Review Status** tab.



5. On the Review Status page, click on the **Delete** button. The Delete Confirmation page is displayed.

6. Select **Yes, permanently delete this report** checkbox and then click the **Confirm** button.

The report is now permanently removed from FDM.

Reviewing an OGE 278

The review process begins in FDM when the reviewer receives an automated e-mail message indicating that they can begin their review process. In the Department of Defense (DoD), the Joint Ethics Regulation (JER) 7-206 requires Supervisors review OGE 278s (except for Termination reports). Non-DoD agencies using FDM need not use the Supervisor role in FDM 278.

Supervisors use FDM to review financial disclosure reports online checking the reported financial interests for completeness, to identify any financial interests that may conflict with the Filer's official duties, and that the report is administratively accurate and complete.

FDM's Compare feature highlights changes when a filer prepopulated the current report from a prior one in FDM. In addition, reviewers can check that a report is administratively accurate and complete. The "Flags" tool helps prevent many common mistakes before the Filer submits his/her report saving time for the Filer and reviewers.

Normally the Filer or another reviewer will cause FDM to e-mail a notice that an OGE 278 is ready to review. That e-mail should contain instructions to login to FDM, https://www.fdm.army.mil, and go to the **My Reviews | Review Reports** tab, **Worklist** View. There, either change or accept the default settings and click on **Search** to see all reports ready for your action in any of your FDM role(s).

FDM Reviewer Tools

FDM's reviewer tools helps reviewers track or "watch" Filer and reviewer compliance. In FDM, reviewers can:

- quickly see a snapshot of those reports that require their attention.
- monitor the filing progress of their Filers.
- monitor Supervisor and SLC review progress.
- manage Filers and their assigned reports.

Note: Generally, in FDM for an OGE 278 report, the Supervisor and SLC roles should review and eSign the Filer's report before action by the DAEO. However, a DAEO may "pull" a report forward by selecting the "Submit to DAEO" button and process the report without the signatures of a Supervisor or SLC.

Manage Exceptions

- A report that is listed on the Manage Exceptions list will not be available on the Worklist.
- Only DAEOS and Senior Legal Counsels can access reports on the Manage Exceptions list.

The Manage Exceptions tool allows DAEOS and Senior Legal Counsels to track Filer and Supervisor Reviewer compliance and to manage reports that require any special action(s). Reports remain in the Manage Exceptions list until the report issue is resolved.

Reports display on the Manage Exceptions list if:

- OPEN NOTES - The Report has existing Notes that are not "Closed."
- CZ/NECZ Extension – A National Emergency/Combat Zone extension has been recorded for the report.
- Filer not eSigned - The Filer has not submitted the report in FDM by the report's due date.
- Supv not eSigned - More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the Supervisor has not eSigned.
- SLC not eSigned - More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the SLC has not eSigned.
- Filer not Started – The Filer has not started entering data into their report by the report's due date.

Review Process Flow

The process for reviewing an OGE 278 includes the following tasks:

Reviewing an OGE 278
◆ The Reviewer identifies the Filers who need their report reviewed in FDM.
◆ The Reviewer gathers any review aids for reference such as, the Filer's previous financial disclosure report, ethics agreements, agency list of contractors, etc.
◆ The Reviewer logs in to FDM.
◆ The Reviewer tracks Filer reporting activities.
◆ Reviewer reviews their Filer's Reports list.
◆ Reviewer selects a report to review.
◆ Reviewer checks the report's flags
◆ Reviewer selects the appropriate Report Data section(s) to review
◆ Reviewer makes/adds comments where necessary.
◆ Reviewer eSigns and ends their review. Note: You must click **Notify** to send an e-mail to the next reviewer indicating that they can begin their review process.

Review an OGE 278

Logging In

1. Log onto your computer, open a web browser, type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.

Website Security Certificate Message

Some users may receive the message. "There is a problem with this website's security certificate."

2. Click **"Continue to this website (not recommended)."**

3. Click **Login to FDM** on the left side of the FDM Home page.

CAC Login

4. Click the **Login** button under the Login Using your CAC section.

5. Select your certificates and then click **OK**. The Review Reports page will display for Reviewers.

Logging In With User Name

4. Select your appropriate authenticating source from the Login Using drop-down.

5. Enter your **User Name** and **Password**. The Review Reports page will display for Reviewers.

Locating My Filer's Reports

The Search filters provide a way to view only those disclosures that require your attention. When a filter is applied to the Reports List, only those disclosures that meet the criteria will display. All other disclosures can be viewed by simply clicking Reset.

You can select different combinations in the Search Filter to see only those disclosures you wish to review.

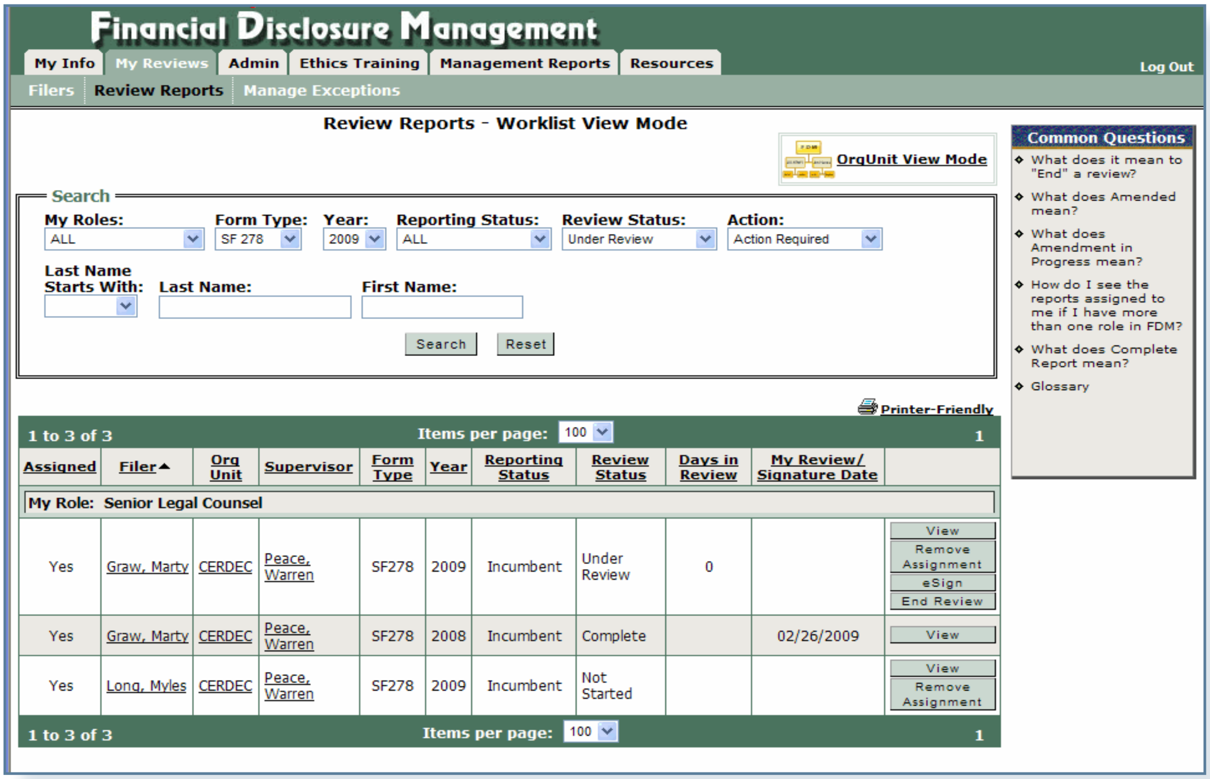
FDM has two Report's List views: Worklist and Org Unit. The Worklist is the default view for all FDM reviewers. Org View list disclosures by Org Unit.

Note: Agency Admins and POCs do not see the Review Reports Worklist.

Report's Worklist

Use the Worklist as a reminder of the reviewing activities you need to complete. You can filter your Worklist in combination with sorting the column headings to organize your disclosure review quickly and efficiently.

List Disclosures that you need to eSign



Disclosures are grouped by your FDM role.

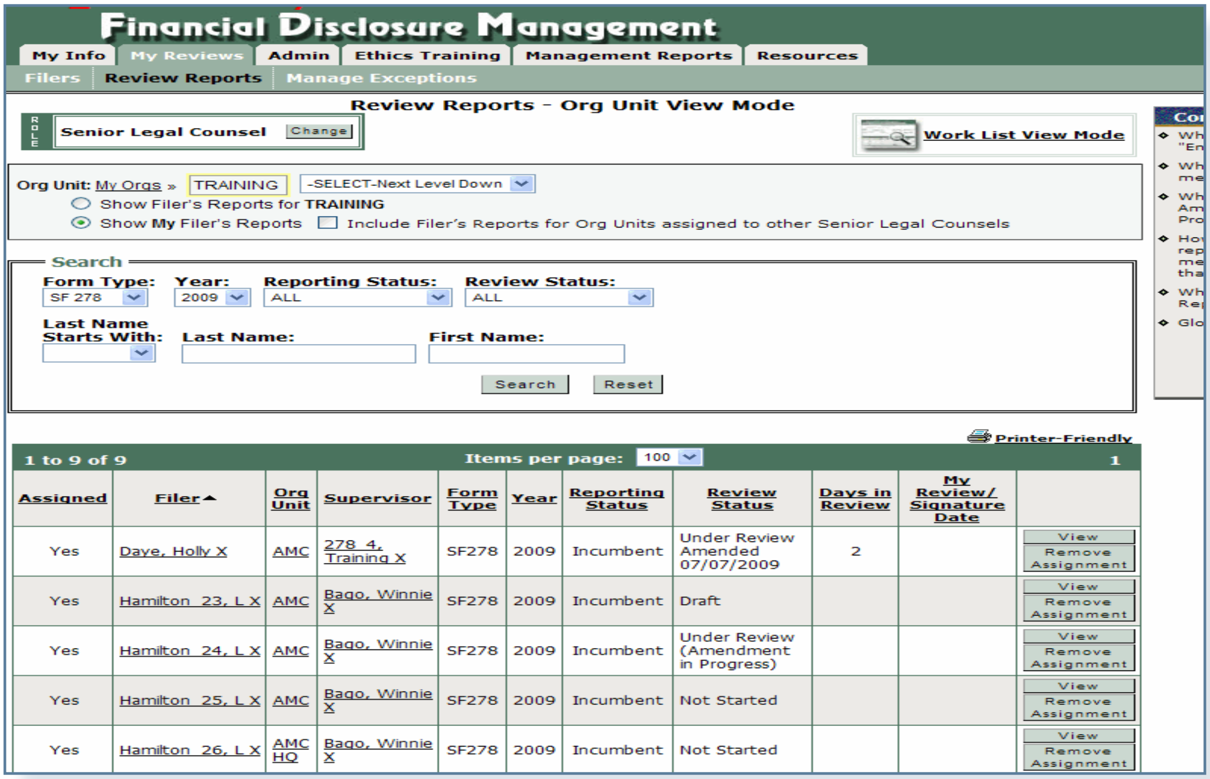
If you have multiple FDM roles you may see the same disclosure listed two or more times on the Worklist page until you have completed your reviewing activity for that disclosure in one of your FDM roles.

1. In the Search area select the following and click **Search.**
   - ROLE - Supervisor, SLC or DAEO
   - FORM TYPE - OGE 278
   - YEAR - The current year
   - REPORTING STATUS- All
   - REVIEW STATUS - Under Review
   - ACTION - Action Required
2. Continue to the Reviewing a Report section.

Report's Org Unit View

Use the Org Unit view to list reports by Filer Org Unit.

1. On the Review Reports page, click **Org Unit View.**



2. Click **Change** in the Role field and select the appropriate role. If you hold more than one role, ensure you have the appropriate role selected by clicking on Change in the Role field.

3. Select the Org Unit from the Next Level Down drop-down list.

4. Select **Show My Filer's Reports** to see a listing of all of the reports you are responsible for reviewing.

5. Under the Search area, select the following and click **Search.**
   - FORM TYPE - OGE 278
   - YEAR - The current year
   - REPORTING STATUS - All
   - REVIEW STATUS - All

Note: You can also search for a particular report by Filer Name.

You can use the column sorting to display your results in a particular order by clicking the specific column heading. For example if you wanted to bring all of your Annual disclosure to the top of the list, click the Reporting Status column heading and arrows display to sort in ascending or descending order..

Locating Filer Reports by Org Unit

To see a listing of disclosure reports for Filers in a specific Org Unit, select an **Org Unit** from the Next Level Down drop-down list.

View a Listing of Reports Assigned to Different Reviewers

To view a listing of disclosure reports that includes Filers assigned to different reviewers but within your organizational hierarchy, select **Include Filer's Reports for Org Unit's assigned to other** (Supervisors, 450 Certifiers etc.) You can identify disclosures that have a different reviewers assigned by the triangle icon . You may view and work with these disclosures; however, you cannot eSign as a different FDM user as the ultimate responsibility.

If a report you are looking for is not listed on your Worklist, click Org Unit View or if you are a Senior Legal Counsel or DAEO Certifier, Manage Exceptions.

Locating a Specific Report

To locate a specific report, be sure to select **Show My Filer's Reports** and **Include Filer's Reports for Org Unit's assigned to other (SLCs, Supervisors, etc.)** and then type at least the first three letters of the Filer's last name in the Last Name field and click **Search**.

Locate Disclosures for a Specific Filer

1. Leave the default filter settings in either the Worklist or Org Unit view.
2. Type the Filer's last name and First Name in the search fields.
3. Click **Search.**

Quickly Locate Disclosures for a Group of Filers

1. Leave the default filter settings in either the Worklist or Org Unit view.
2. Select the appropriate letter in the Last Name Starts With drop-down
3. Click **Search.**

If the Report Status is Amendment in Progress or Draft, you can view the report and comments but cannot eSign.

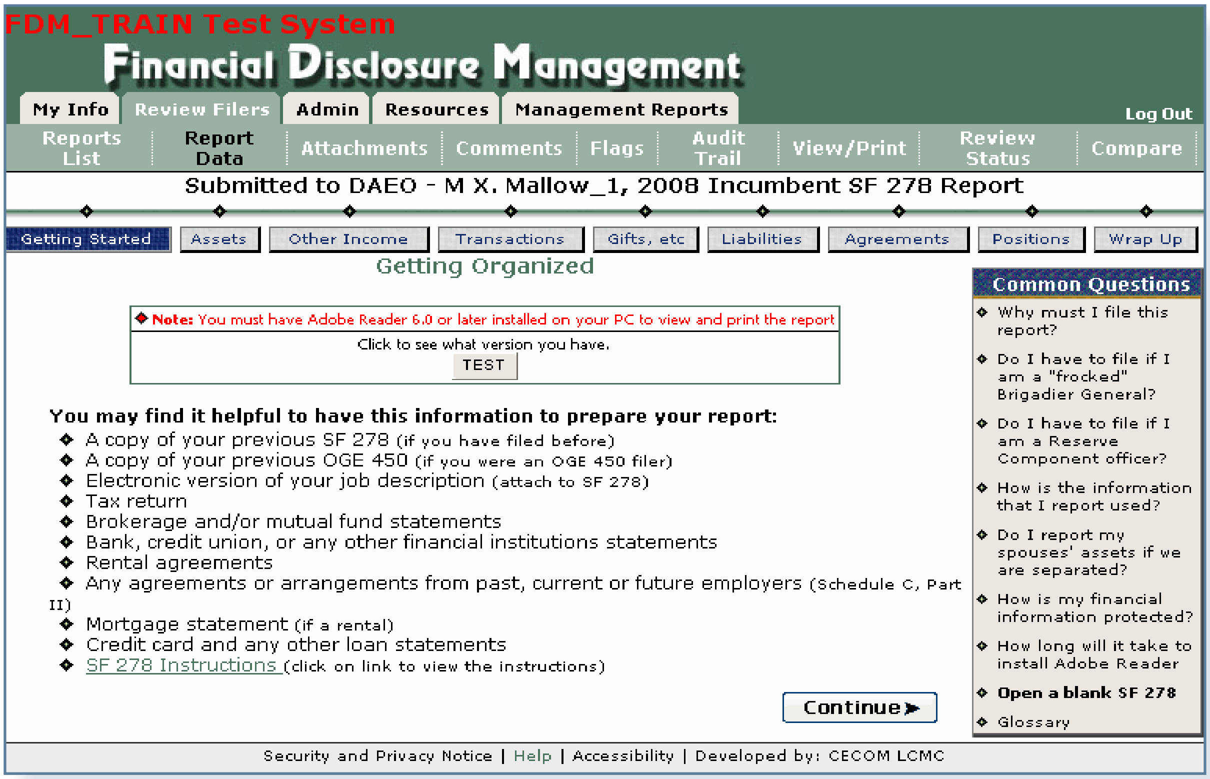
Reviewing a Report

Reviewing Options

At this point, you can opt to End Review, eSign or View.

Field	Description
End Initial Review	To indicate that they have conducted an initial review of a financial disclosure report.
eSign	When you have completed your review and are confident there are no conflicts of interest.
View	Allows you to review the financial disclosure report online.
Submit to DAEO	The Submit to DAEO button does not display until a FDM Supervisor and Senior Legal Counsel reviews and eSigns an OGE278. A DAEO or DAEO EC will not be able to eSign and complete a disclosure report until it has been submitted to DAEO. However, a DAEO or DAEO EC can "pull" a report forward for their review if necessary by clicking Submit to DAEO button when necessary. A DAEO or DAEO EC will not be able to eSign and complete a disclosure report until it has been submitted to DAEO.
Assign	Allows you to assign a report that the Filer has already started.
Remove Assignment	Allows you to remove the report assignment if it was assigned erroneously. If the report Review Status is Not Started or Draft, the report is removed from FDM when the assignment is removed.

1. On either the Worklist or Org Unit View, click View beside the appropriate report to open the report and view its contents. The Getting Organized page is displayed for the disclosure report you are reviewing.



Compare/View/Report Data

In FDM, there are three different ways to review disclosure:

- By using Compare, if the current disclosure was pre-populated from a previous disclosure
- By clicking View/Print to view and print the disclosure report
- Through the Report Data "wizard"

Compare

Reviewers can easily compare changes/differences between last year's report and this year's on one page if the Filer pre-populated from a previous report.

HINT! You may open the disclosure report through View/Print and then move to the specific Report Data section of the report to add a comment or check Flags.

View/Print Reports

Reviewers may prefer to quickly review report contents by using the View/Print feature especially if you have many reports to review.

Report Data "Wizard"

Reviewers may find it easier to view the contents of a Filer's report through the Report Data "wizard" if the report is lengthy or complex.

Previous Reports

FDM reviewers (i.e., supplemental or additional) can request a copy of a Filer's previous report for comparison.

1. While reviewing a report in FDM, click the **Previous Reports** tab. A listing of the Filer's disclosure reports that were created in FDM is displayed.
2. Click **View/Print** beside the appropriate report to view a copy of the Filer's previous report.

Note: You can also view a Filer's previous reports by clicking Reports List. Select all in the Search Filter and then click Search.

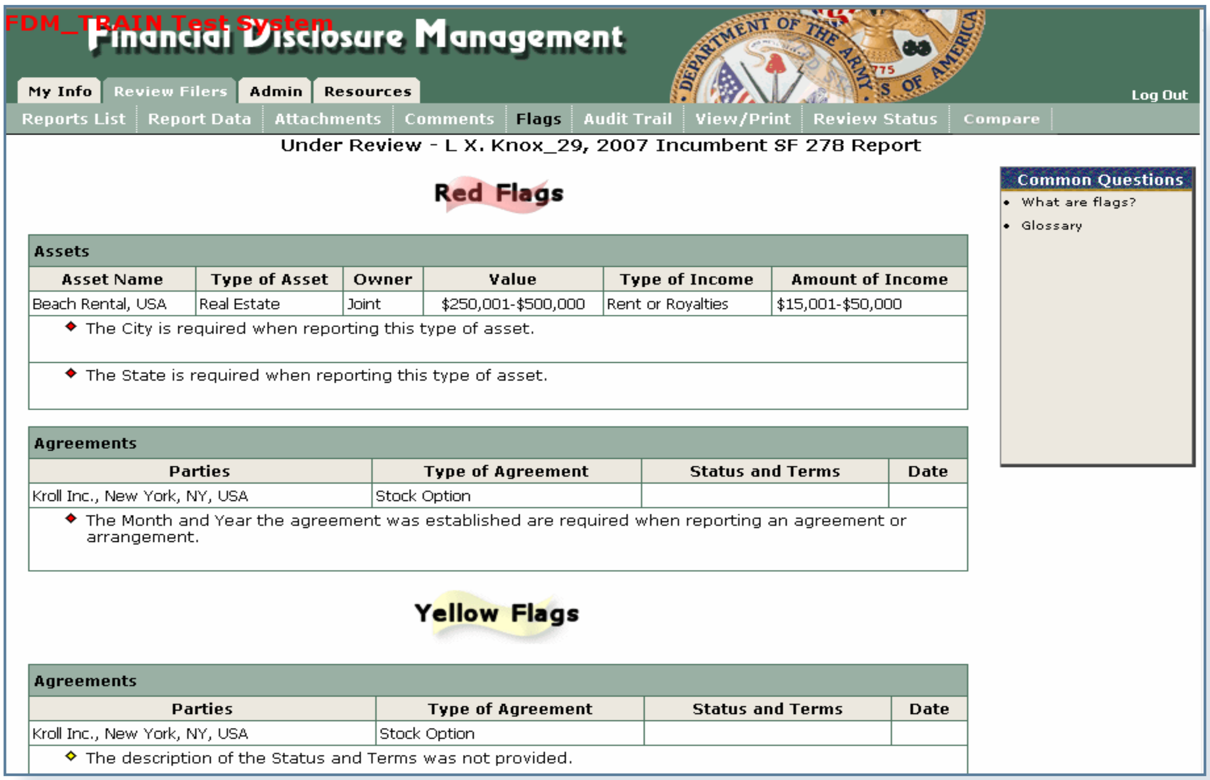
Reviewing the Report's Flags

Review any report flags to be sure all errors and omissions are addressed.

> OGE 278 Filers can submit the report with Flags errors) if they must meet a deadline.

A red flag indicates required information is missing and that it should be provided before the report is submitted. A yellow flag indicates that information is missing but is not required in order to submit a report.

1. Click **Flags.** The Flags page is displayed listing any Red or Yellow flags the Filer may have on their financial disclosure report.



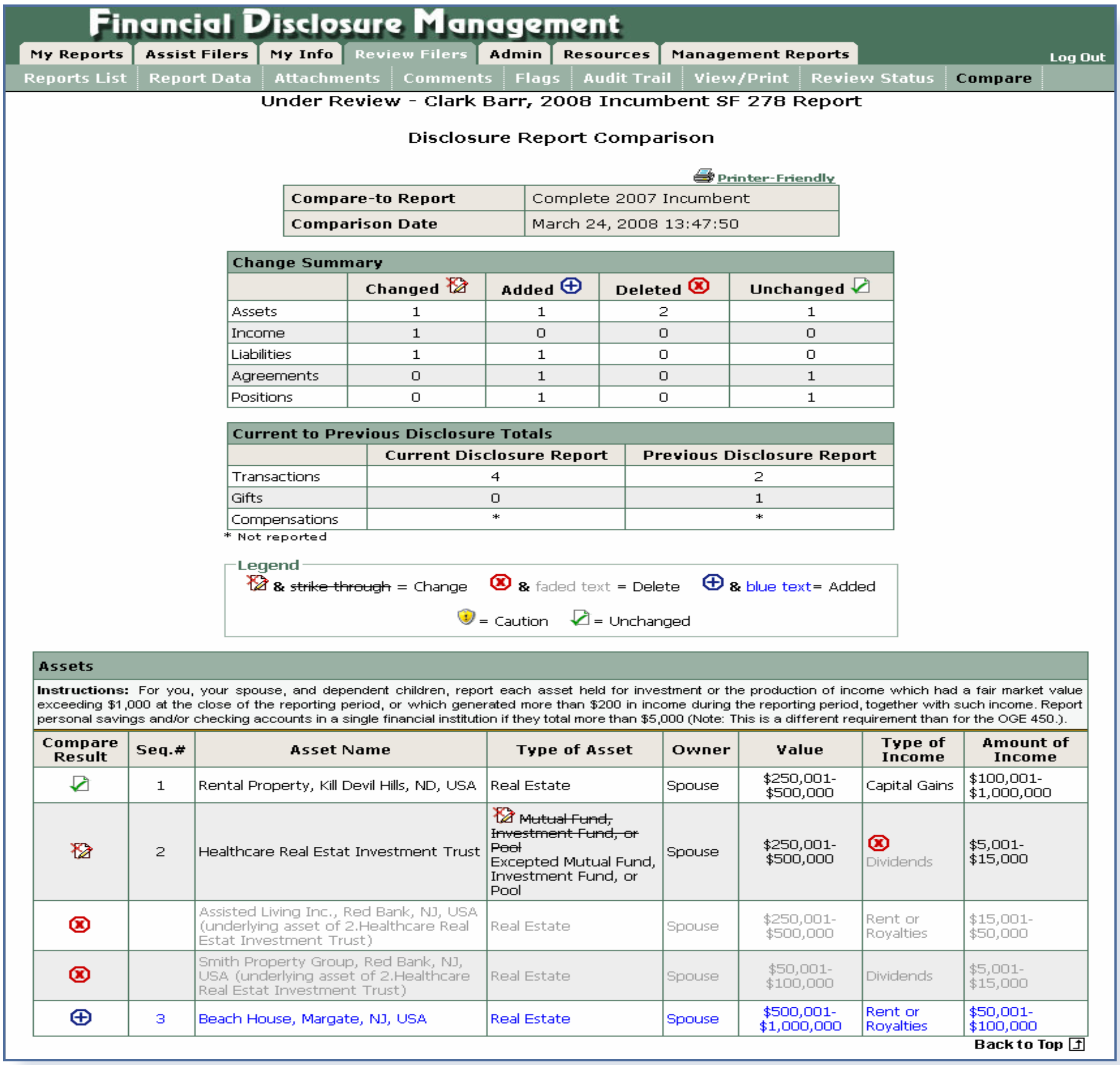
2. Review the report's flags. When complete, click either **Report Data** to return to the details of the OGE 278 you are reviewing or **View/Print** to view and print the financial disclosure report form.

Compare a Pre-populated Report

Reviewers can easily compare changes/differences between last year's report and this year's on one page if the Filer pre-populated from a previous report in FDM. The Compare feature highlights differences in a Filer's report if the Filer pre-populated from a previous report in FDM.

Comparing Reports in FDM

1. Click **View** beside the appropriate report on the Review Filers | Reports List page.
2. Click **Compare**. The Disclosure Report Comparison page is displayed.



Financial Disclosure Management

My Reports | Assist Filers | My Info | Review Filers | Admin | Resources | Management Reports | Log Out

Reports List | Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Compare

Under Review - Clark Barr, 2008 Incumbent SF 278 Report

Disclosure Report Comparison

Printer-Friendly

Compare-to Report	Complete 2007 Incumbent
Comparison Date	March 24, 2008 13:47:50

Change Summary

	Changed	Added	Deleted	Unchanged
Assets	1	1	2	1
Income	1	0	0	0
Liabilities	1	1	0	0
Agreements	0	1	0	1
Positions	0	1	0	1

Current to Previous Disclosure Totals

	Current Disclosure Report	Previous Disclosure Report
Transactions	4	2
Gifts	0	1
Compensations	*	*

* Not reported

Legend

& ~~strike-through~~ = Change & faded text = Delete & blue text= Added

= Caution = Unchanged

Assets

Instructions: For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income. Report personal savings and/or checking accounts in a single financial institution if they total more than $5,000 (Note: This is a different requirement than for the OGE 450.).

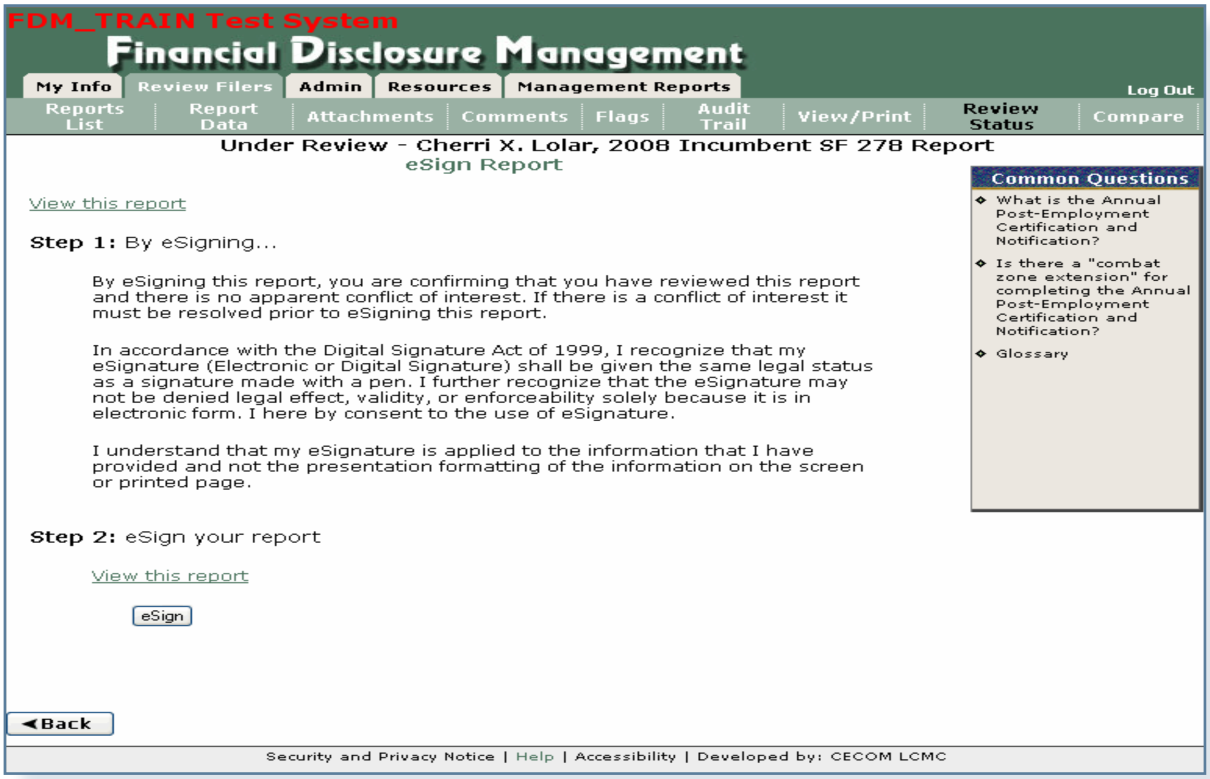
Compare Result	Seq.#	Asset Name	Type of Asset	Owner	Value	Type of Income	Amount of Income
	1	Rental Property, Kill Devil Hills, ND, USA	Real Estate	Spouse	$250,001-$500,000	Capital Gains	$100,001-$1,000,000
	2	Healthcare Real Estat Investment Trust	~~Mutual Fund, Investment Fund, or Pool~~ Excepted Mutual Fund, Investment Fund, or Pool	Spouse	$250,001-$500,000	Dividends	$5,001-$15,000
		Assisted Living Inc., Red Bank, NJ, USA (underlying asset of 2.Healthcare Real Estat Investment Trust)	Real Estate	Spouse	$250,001-$500,000	Rent or Royalties	$15,001-$50,000
		Smith Property Group, Red Bank, NJ, USA (underlying asset of 2.Healthcare Real Estat Investment Trust)	Real Estate	Spouse	$50,001-$100,000	Dividends	$5,001-$15,000
	3	Beach House, Margate, NJ, USA	Real Estate	Spouse	$500,001-$1,000,000	Rent or Royalties	$50,001-$100,000

Back to Top

Transactions, Gifts and Compensations are not compared from the prepopulated report to the current report.

3. Review the report changes.

4. Click **eSign** at the bottom of the page to signify you have completed your review and are confident there are no conflicts of interest. . The eSign Report page is displayed.



5. Click **eSign**. Your review has been recorded. The Review Filers page is displayed indicating that you have eSigned the report and it is ready for another reviewer's action.

6. Click the envelope icon to notify the next reviewer that this disclosure report is ready for their review.

View or Print a Report

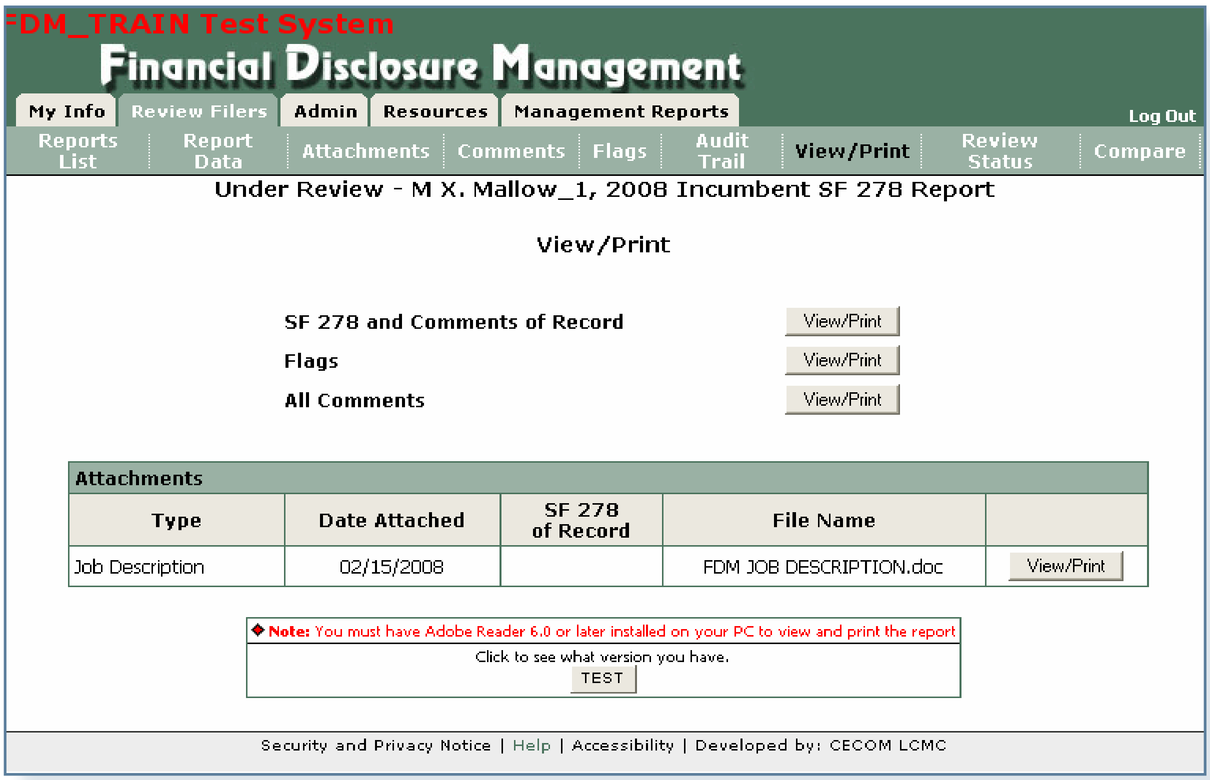
At any time, you can view and print a financial disclosure report. View/Print provides Filers and Reviewers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

Note: You may open the disclosure report through View/Print and then move to the specific Report Data section of the report to add a comment or check Flags.

Viewing a Report in FDM

1. Click **View** beside the appropriate report on the Review Filers | Reports List page.

2. Click **View/Print**.

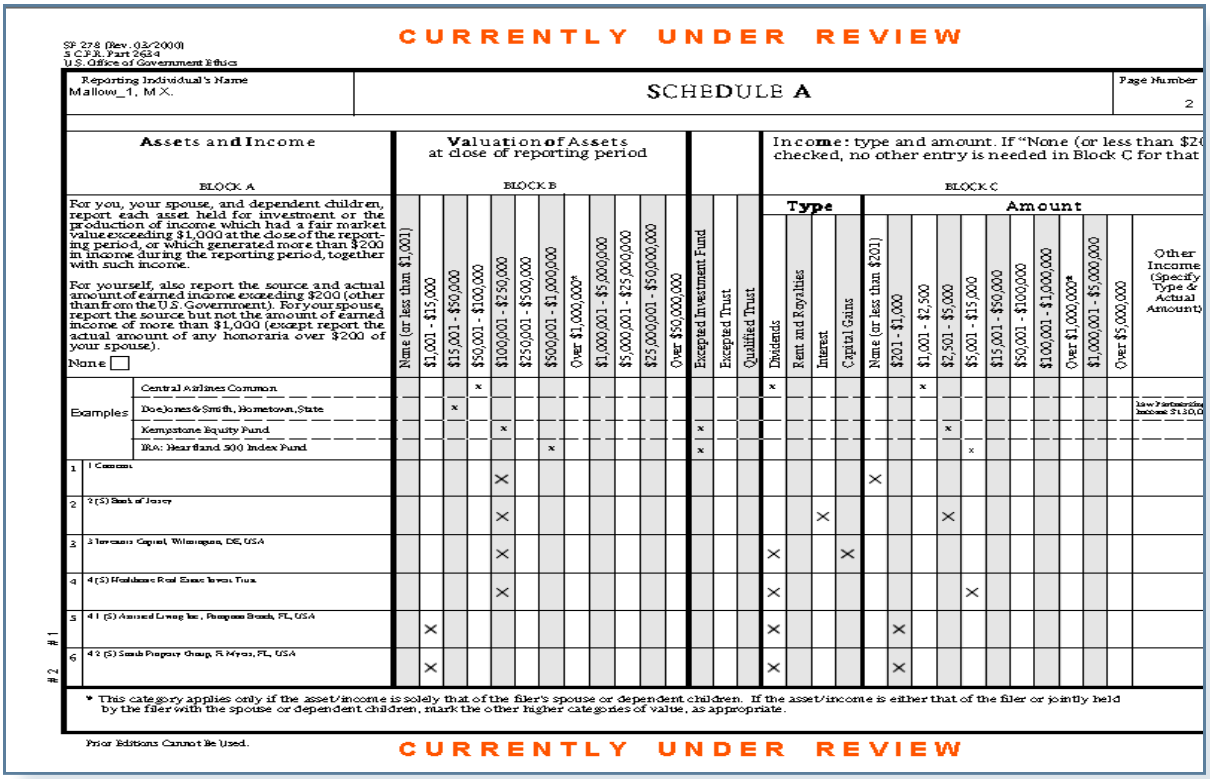


3. Click **View/Print** beside the financial disclosure report. The report is displayed in a separate browser window in PDF form.

- To view and print an OGE 278, pop-up blockers must be disabled. You will also need to have Adobe Acrobat Reader 6.0 or later installed on your PC in order to view and print the report.

- The OGE 278 displays as

Printing a Report in FDM



CURRENTLY UNDER REVIEW

SF 278 (Rev. 03/2000)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Mallow_1, M X.

SCHEDULE A

Page Number: 2

Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust
Examples	Central Airlines Common				x											
	Doe Jones & Smith, Hometown, State			x												
	Kempstone Equity Fund					x								x		
	IRA: Heartland 500 Index Fund							x						x		
1	1 Common					X										
2	2 (S) Bank of Jersey					X										
3	3 Investors Capital, Wilmington, DE, USA					X										
4	4 (S) Healthcare Real Estate Invest. Trust					X										
5	4 1 (S) Assisted Living Inc., Pompano Beach, FL, USA		X													
6	4 2 (S) South Property Group, Ft. Myers, FL, USA		X													

Income: type and amount. If "None (or less than $20[…]" checked, no other entry is needed in Block C for that […] — BLOCK C

		Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)
Examples	Central Airlines Common	x						x									
	Doe Jones & Smith, Hometown, State																Law Partnership Income $130,0[…]
	Kempstone Equity Fund								x								
	IRA: Heartland 500 Index Fund									x							
1	1 Common					X											
2	2 (S) Bank of Jersey			X					X								
3	3 Investors Capital, Wilmington, DE, USA	X			X												
4	4 (S) Healthcare Real Estate Invest. Trust	X								X							
5	4 1 (S) Assisted Living Inc., Pompano Beach, FL, USA	X					X										
6	4 2 (S) South Property Group, Ft. Myers, FL, USA	X					X										

#1 #2

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Prior Editions Cannot Be Used.

CURRENTLY UNDER REVIEW

4. Print the PDF form by selecting **File | Print** and then click **Print.**

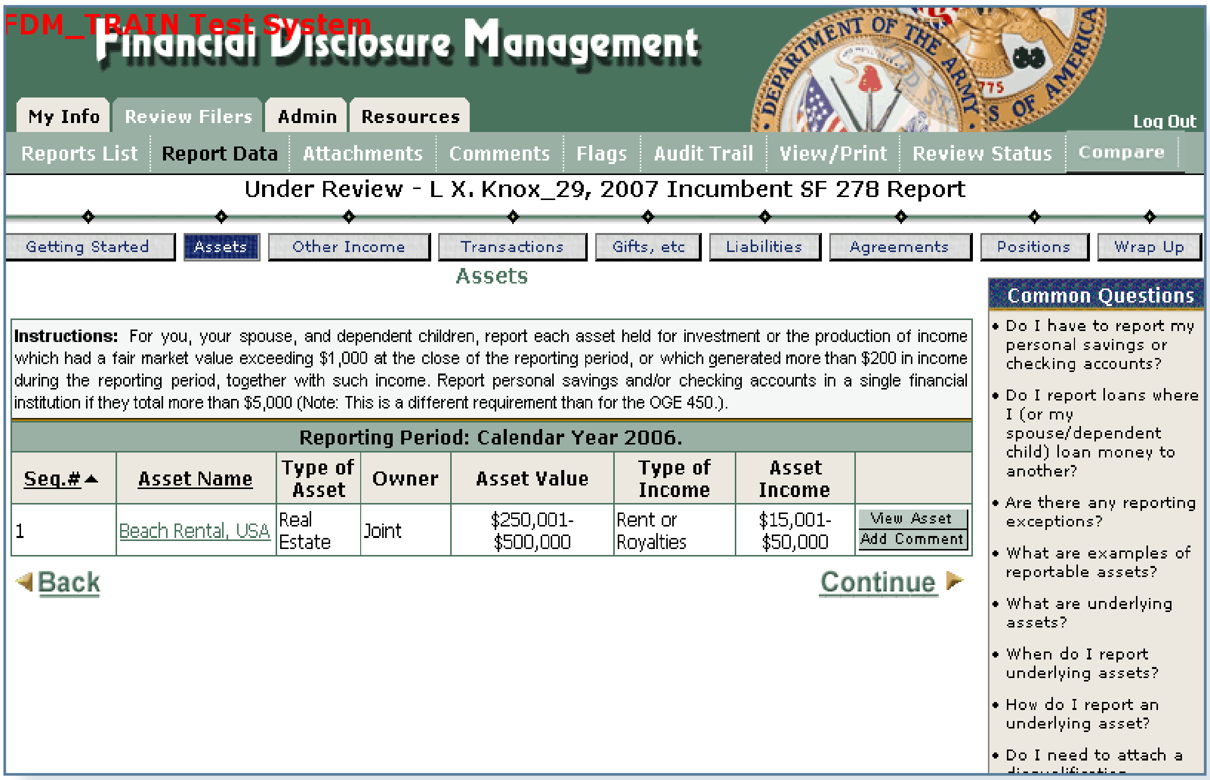
Report Data

Report Data is the main area used for viewing OGE 278 line items in FDM.

The process for viewing report data is the same no matter what type of information you need to review.

Viewing Line Items

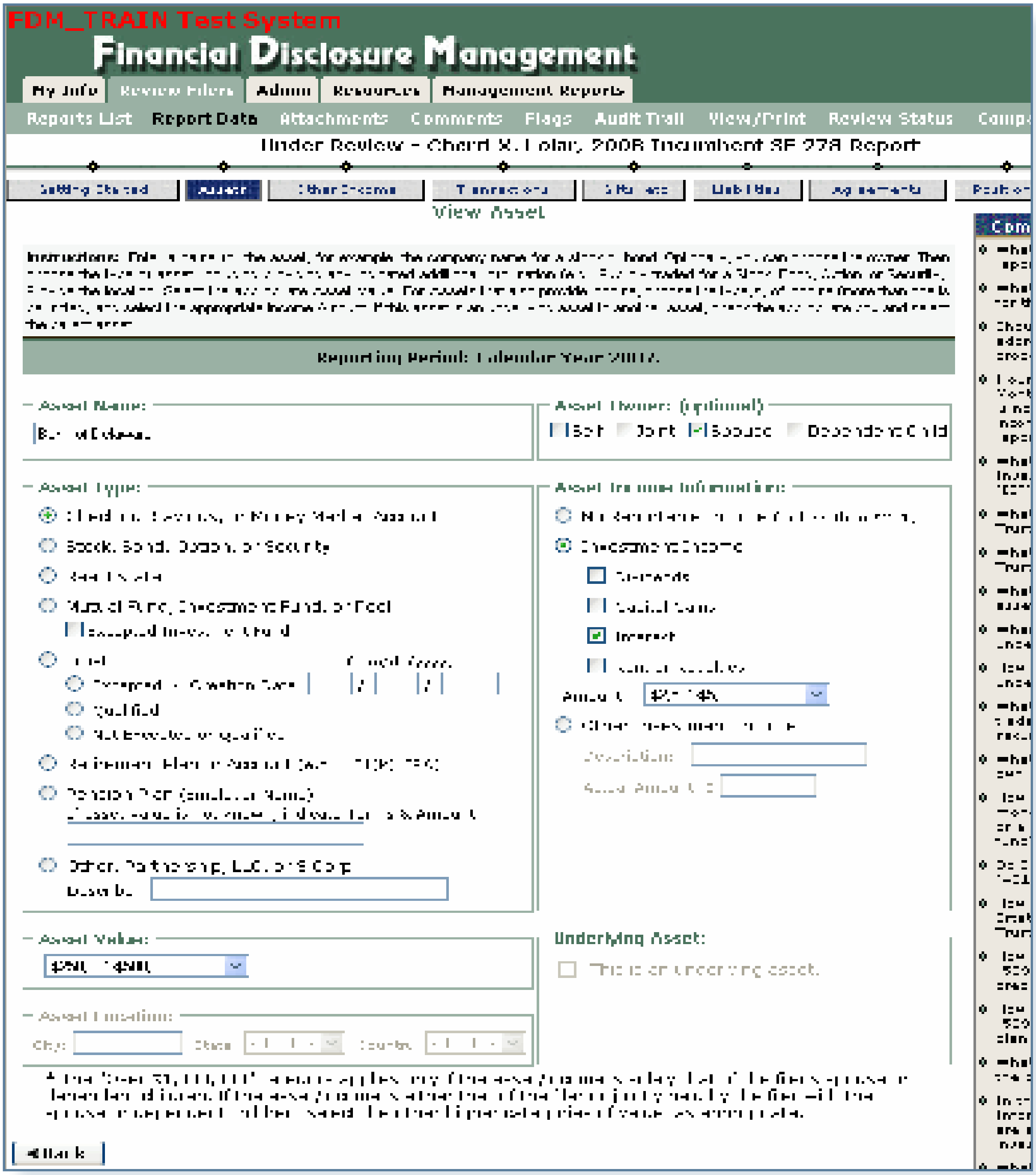
Select the appropriate Report Data sections to view detail information and add comments to specific line items.



1. Select the appropriate Report Data sections and click **View** beside any line item to view the detail information.

The same Report Data sections display for Filers and Reviewers.

You can click the **Continue** button to page through the report or go directly to each report section.



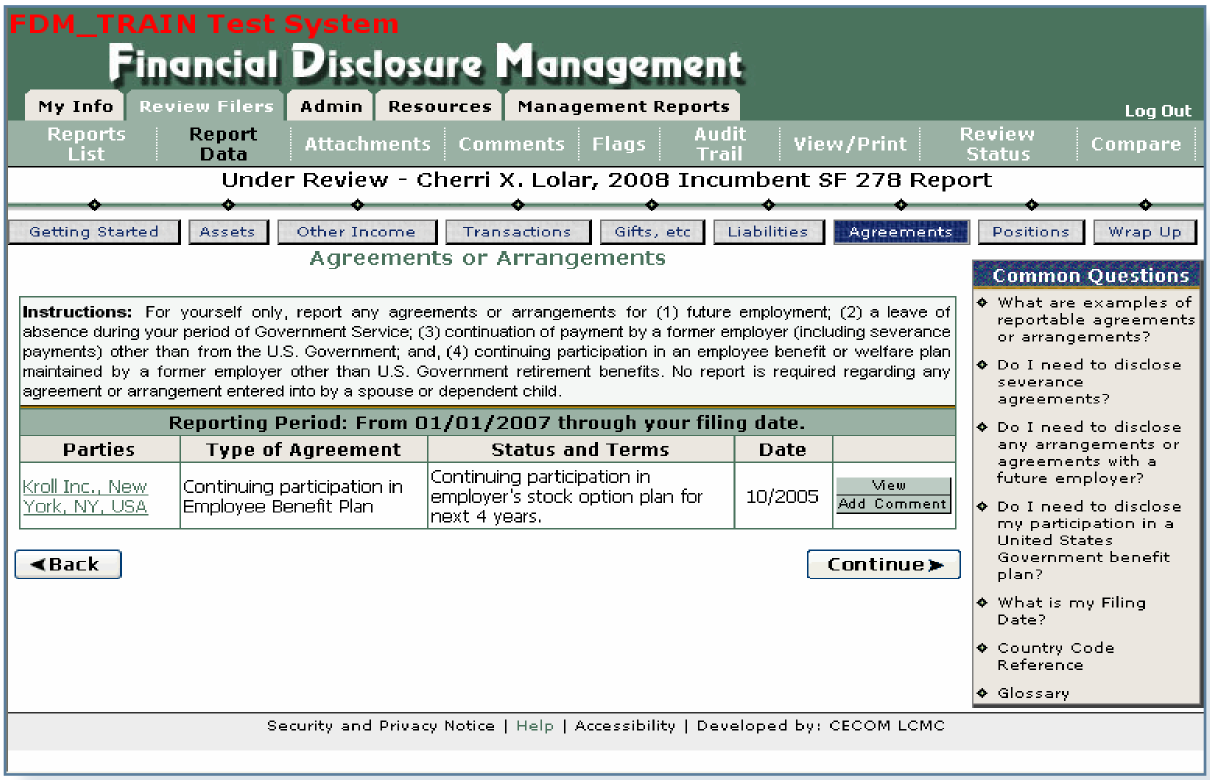
2. Review the information. Click **Back** when complete to add a line item comment or click through the other Report Data sections to review.

Report Comments

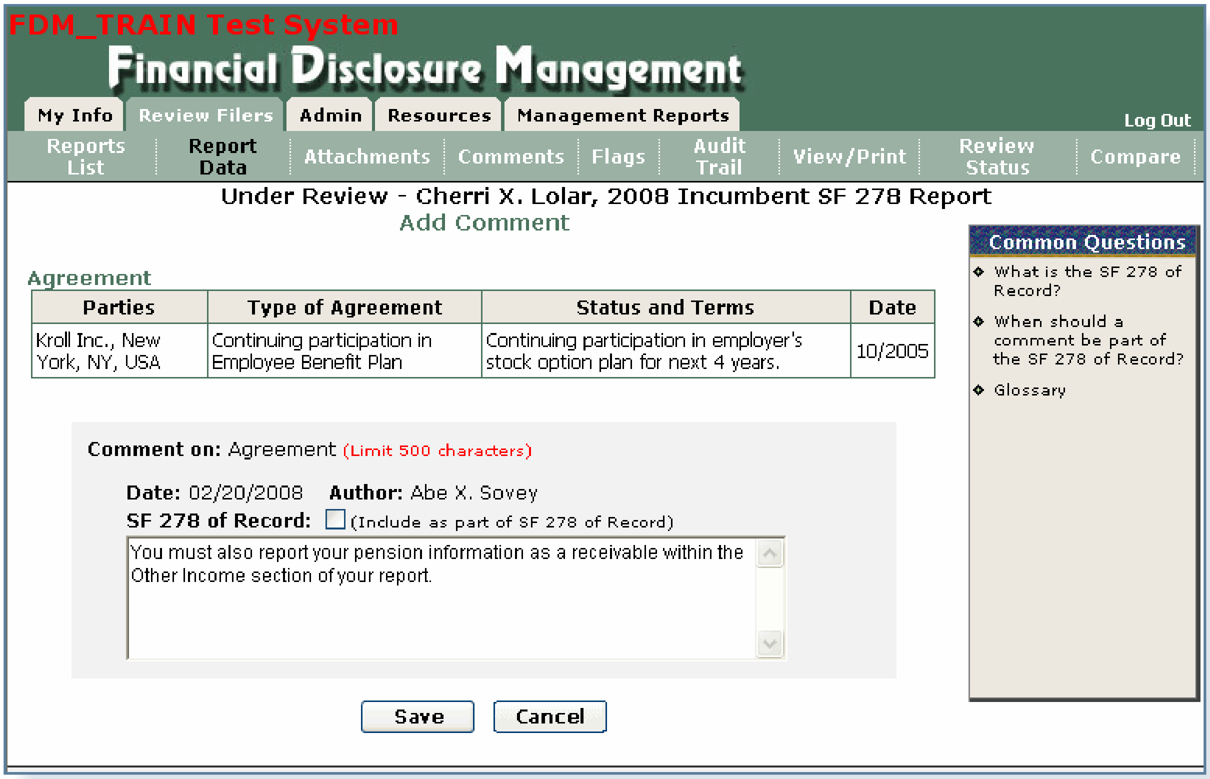
Adding Line Item Comments

Comments can be added to specific line items or to the OGE 278 report overall. A comment should be included as part of the OGE 278 of record if it is a substantive comment that provides additional information, a clarification, or a correction that materially affects the data reported on the OGE 278.

1. Select the appropriate Report Data section.



2. Click **Add Comment** beside the appropriate line item. The Add Comment page is displayed.

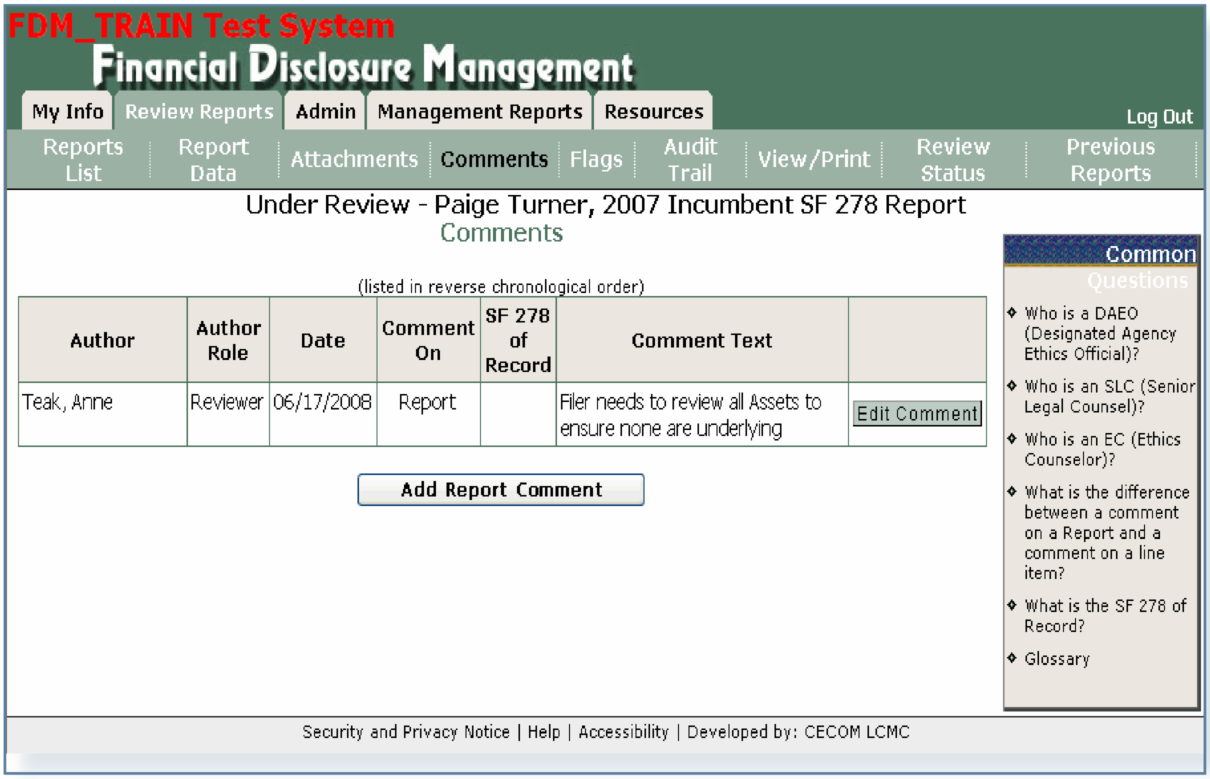


3. Review any existing Reviewer or Filer comments, type your comment and click **Save.**

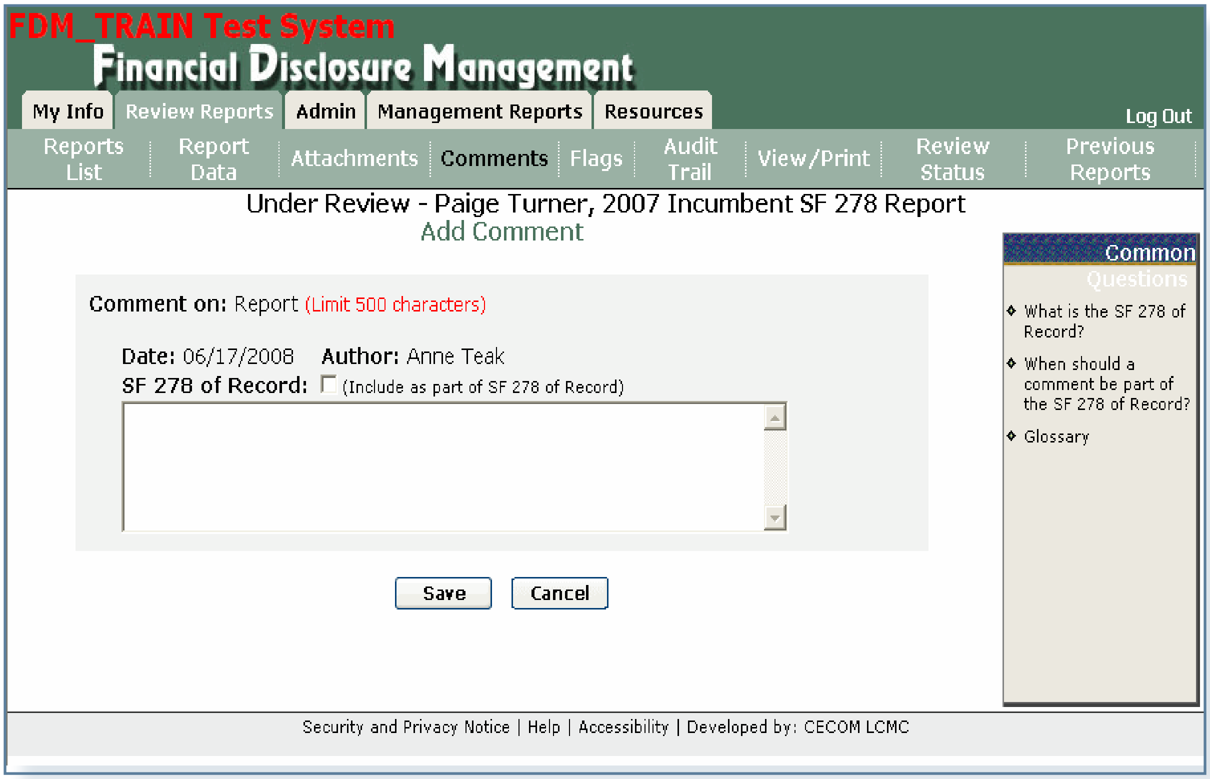
Only select, **Include as part of the OGE 278 of Record** if you want to include permanently with the report.

Adding a Report Comment

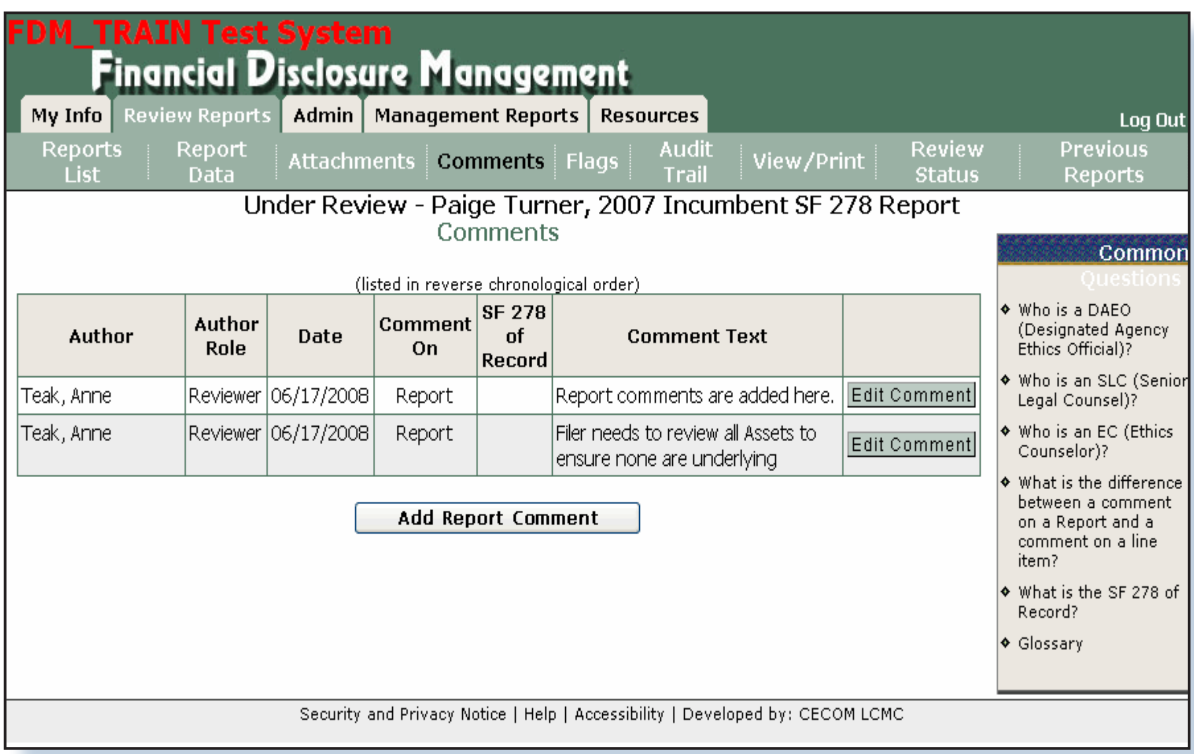
1. From anywhere within the Report Data, click **Comments** at the top of the page. The Comments page is displayed.



2. Click **Add Report Comment**. The Add Comment page is displayed.



3. Type your comment and then click **Save**. The Comments page is displayed.



Notes

The Notes tool allows Senior Legal Counsels and DAEOS to attach an electronic "post-it" note to a report to indicate that there are items within the Filers report that require a follow up before the report can be certified. Notes can be added at any time within the report review process.

These "Reviewer" notes do not appear on the Filer's report.

Once a Note is added, the report is moved from the Worklist to the Manage Exceptions list. Reports with Notes remain on the Manage Exceptions list until the report Note is Closed or Deleted. Supervisors will still see the report within their Worklist and can still conduct their review and eSign reports that have report Notes.

Adding a Note to a Filer's Report

1. Select the **Notes** tab.

2. Click **Start/Add More Notes** to add a note with a timestamp. A new section is added to the Notes box, displaying your user name and the current date.

3. Type your note and then click **Save.** The report is now moved from your Worklist to the Manage Exceptions list.

4. To add more report notes, click **Start/Add More Notes** again.

Editing Report Notes

You can edit any report Notes text at any time by clicking within the Notes textbox.

Close and Delete Report Notes

To remove a report from the Manage Exceptions list that has a report Note, a 450 certifier can:

- Close the existing Notes
- Delete the existing report notes

Closing and/or deleting report notes moves the report back to the Report Worklist.

Closing Report Notes

Close a report Note to indicate that the report is not ready for final review. Closing report Notes retains any notes that were added to the report for historical purposes.

Deleting Report Notes

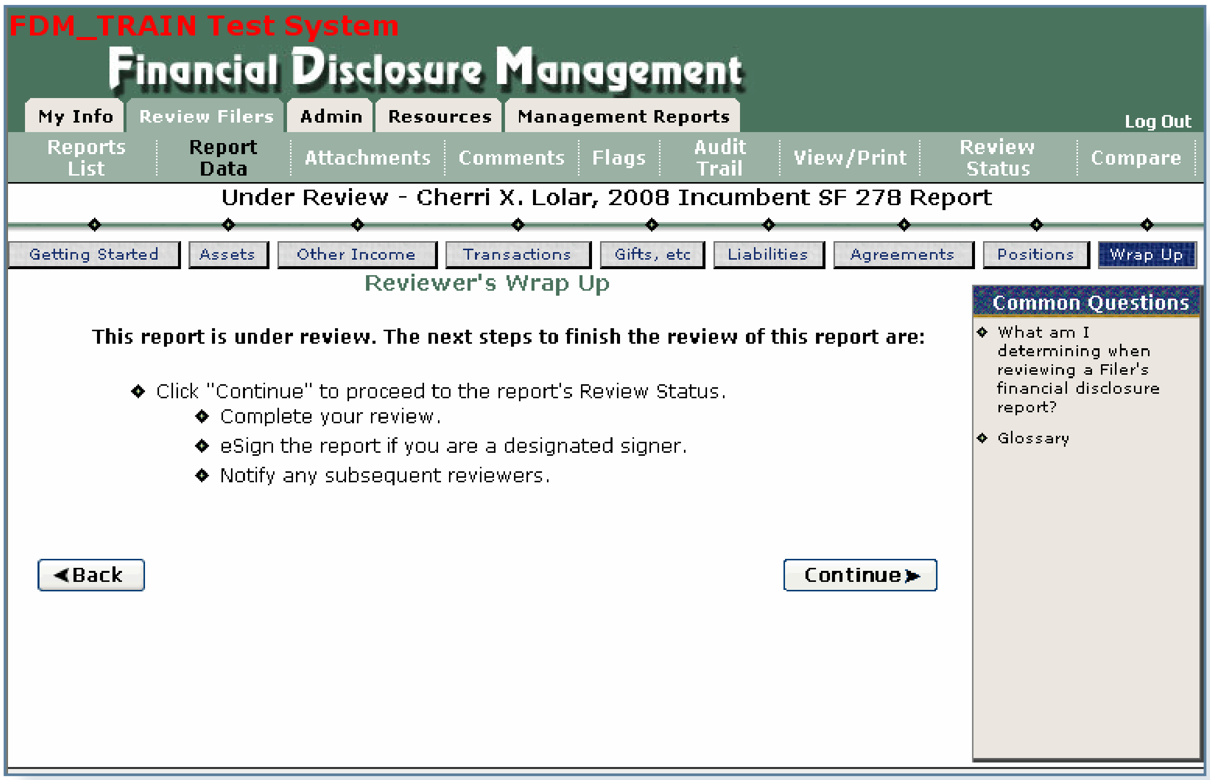
Deleting report Notes removes all report Note text. You can view the report's audit trail to determine if a report note was deleted.

Reviewer's eSign

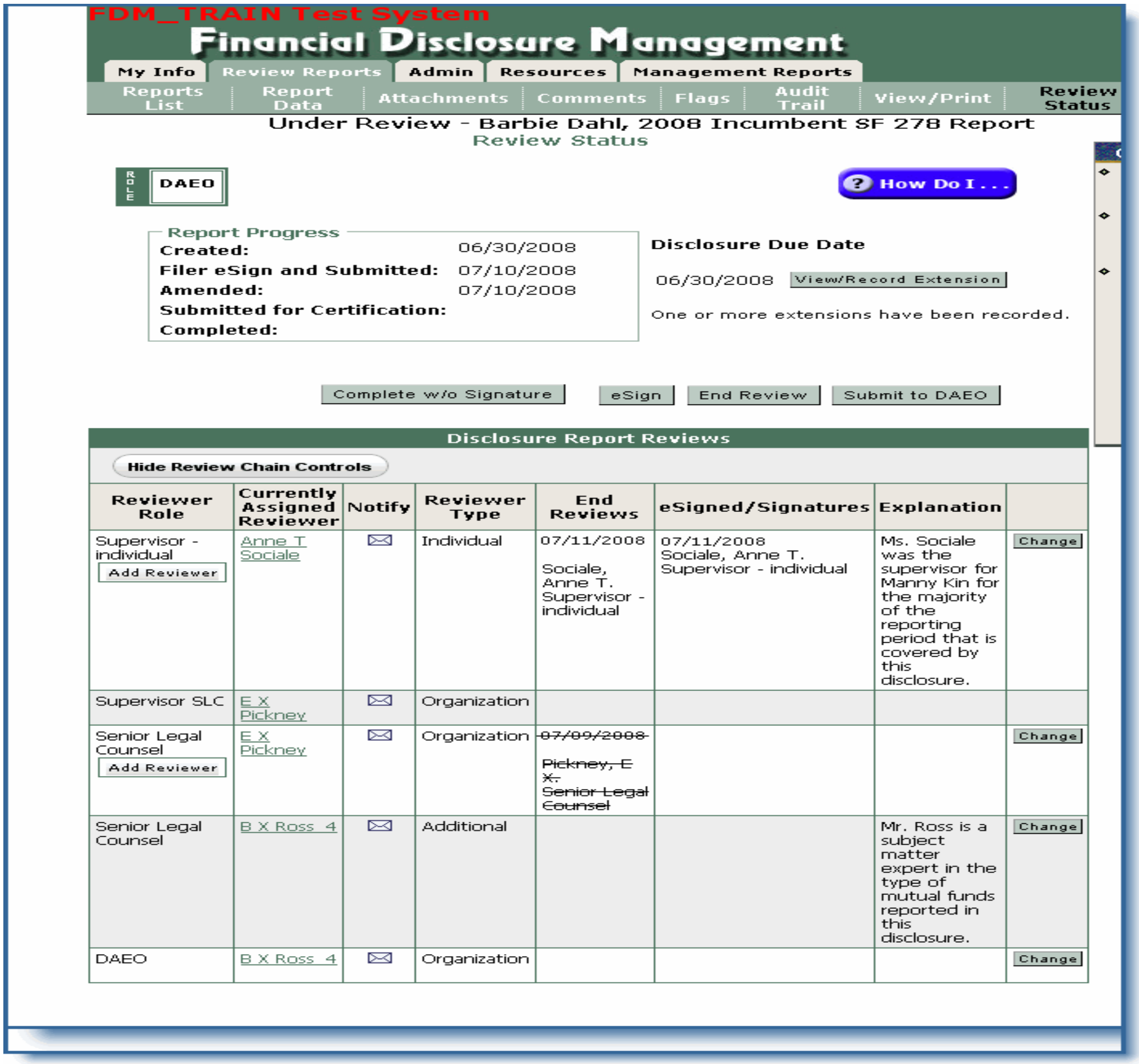
eSign, End Initial Review, Request Filer Amend, Notify, Submit to DAEO

As a Reviewer, when you "sign off" on a report it indicates you determined the Filer has no conflict of interest, or that conflicts of interests are resolved by the means authorized in the appropriate ethics rules. Before signing off on a report, you must take the appropriate steps to resolve any apparent conflicts of interest. If you discover a conflict of interest, contact your legal advisor for assistance.

1. When you have completed your review, click **eSign** in the Report Data section.



2. If there are no flags to review, click **Continue**. The Review Status page is displayed.



At this point, you can opt to **End Initial Review, Request Filer Amend, eSign**or **Notify** another Reviewer that you have completed your review of this financial disclosure report.

- Do not click eSign, if you want the Filer to make changes prior to you completing your review.

- For additional instructions on reviewing an OGE 278 report, go to the FDM Website and select Resources under Help & Support. https://www.fdm.army.mil/

Notifying the Next Reviewer

One reviewer may notify another reviewer to review a report by using the Notify feature on the Review Status page.

If the Senior Legal Counsel eSigns before the Supervisor has finished their review of the report, the Senior Legal Counsel can notify the Supervisor to review the report using the Notify feature on the Review Status page.

1. Click the envelope icon beside the next appropriate Reviewer of this report. An e-mail is automatically sent to the selected Reviewer indicating that the disclosure is awaiting their review in FDM.

Ending Initial Review

A reviewer can End Initial Review to signify that they have conducted an initial review of a financial disclosure report and stop the Days in Review counter. Ending Initial Review is not the same as eSigning a report in that it does not sign the report. You can still add comments to the disclosure after you have ended your review.

Note: To comply with the Office of Government Ethics' 60-day review requirement, initial review must be completed within 60 days after the Filer's report submission.

1. On the Review Status page, click **End Initial Review**. A message displays indicating that if the filer amends this report you will need to review the report again.
2. Click **OK** to end your initial review. The Review Status page is displayed.

Note: The Days in Review counter does not stop when a reviewer clicks the **End Initial Review** button. Days in Review only stops after a certifying authority eSigns and Completes a report.

Request Filer Amend a Report

DAEOs and Senior Legal Counsels can request a filer amend their report directly from FDM. FDM adds a report comment to the report once an amendment is requested. The reviewer can also add this comment as a Note for the report. The amendment request information then prepopulates into and e-mail that the reviewer sends to the Filer through the reviewer's e-mail application. Once the reviewer clicks Request Filer Amend, the report is only accessible on the Manage Exceptions page.

Note: Legal Reviewers can only request an amendment if the report has a status of Under Review.

1. On the Review Status page, click **Request Filer Amend**. The Add

Report Comment and Note page is displayed.

2. Type any additional information in the comment about the requested amendment and then copy and paste this comment into the Notes text box.

3. Click **Continue**. Your e-mail client opens with a default message to the Filer about amending their report in FDM.

4. Click **Send.**

Determining if an Amendment was Requested

The Notes column on the Manage Exceptioins display of reports will reflect the most recent Note on a report. If that is the “amendment requested” note you will see it as shown below. To determine if an amendment was requested for a specific report:

5. Go to **My Reviews | Manage Exceptions.**

6. Click **View** beside the appropriate report.

7. Click the **Comments** tab to review the amendment request.

Note: A report that has an Amendment Request will remain on the Manage Exceptions list until the report is certified in FDM

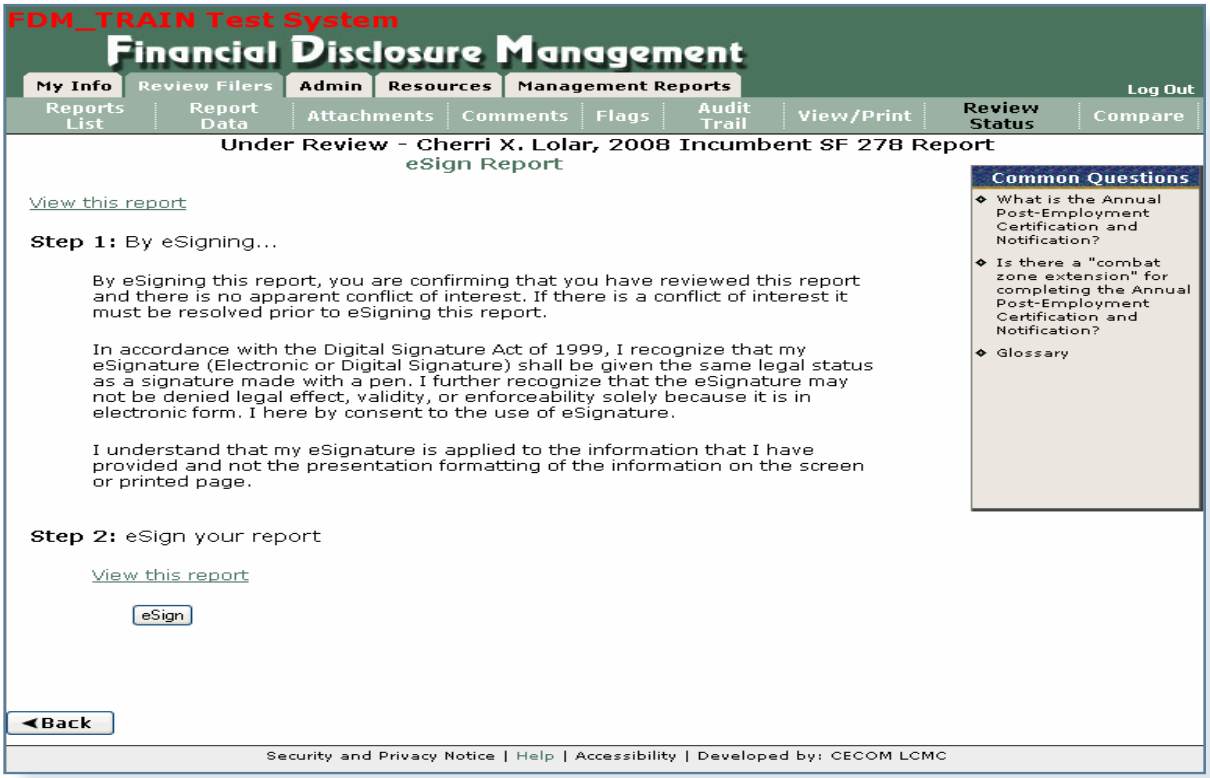
eSigning an OGE 278

Do not click eSign, if you want the Filer to make changes before you finish your review.

Although you can eSign the report from the Review Report page, it is recommended that you view the report to ensure that the correction was made.

1. Click **eSign** to signify you have completed your review and are confident there are no conflicts of interest. A security message is displayed asking if you wish to proceed to the digital signature page.

2. Click **OK.** The eSign Report page is displayed.



3. Click **eSign**. Your review has been recorded. The Review Filers page is displayed indicating that you have eSigned the report and it is ready for another reviewer's action.

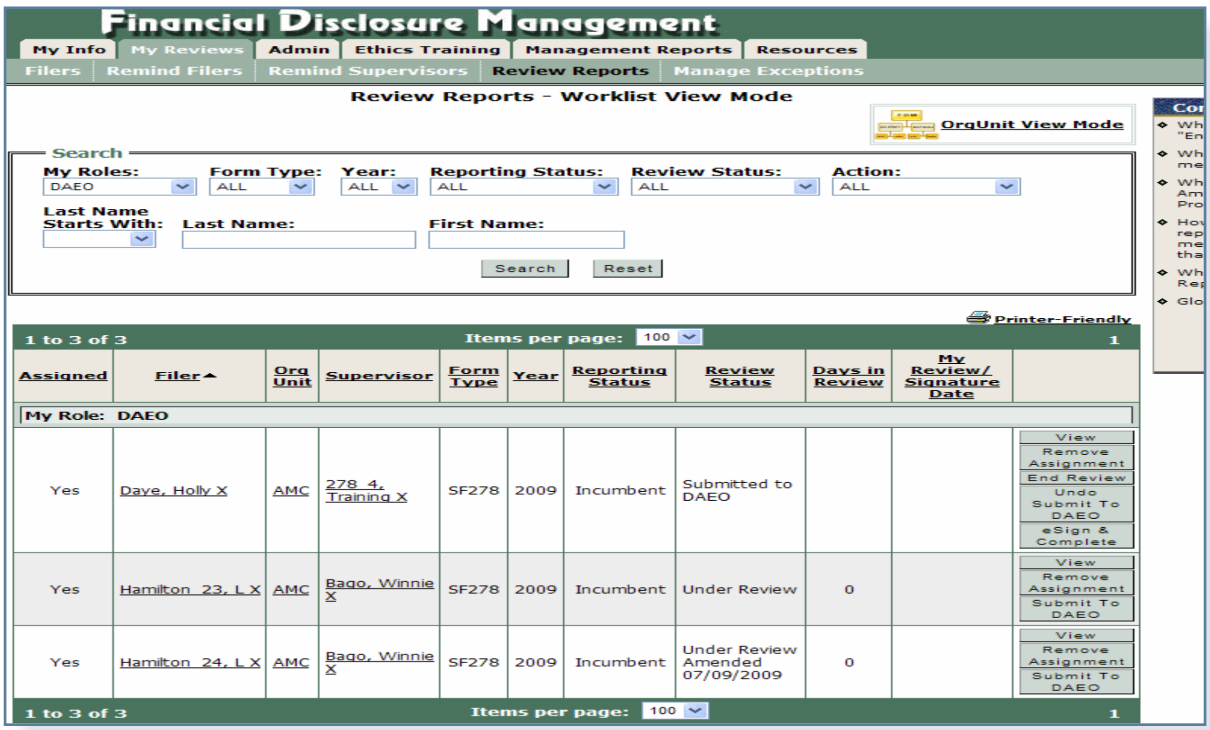
4. Click the envelope icon to notify the next reviewer that this disclosure report is ready for their review.

Submitting to a DAEO

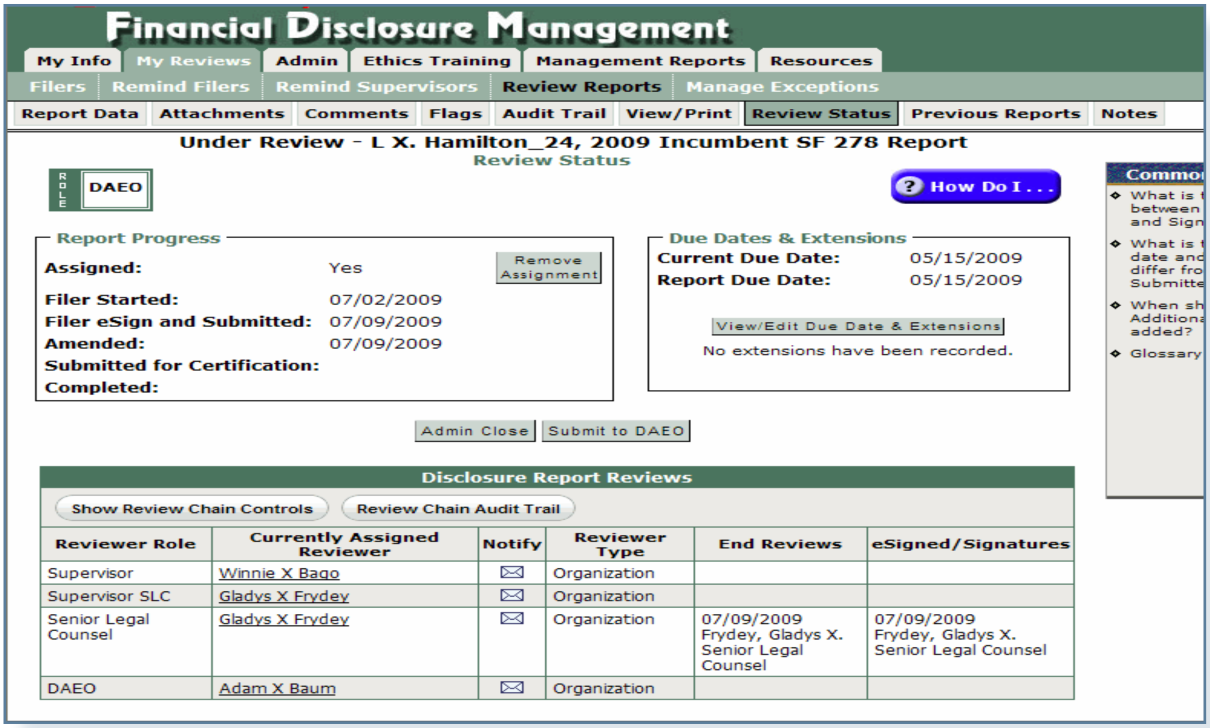
The Submit to DAEO button is displayed once either the FDM Supervisor or Senior Legal Counsel has reviewed and eSigned the disclosure. A DAEO or DAEO EC will not be able to eSign and complete a disclosure report until it has been submitted to DAEO. However, a DAEO or DAEO EC can "pull" a report forward for their review if necessary by clicking Submit to DAEO button when necessary.

Use the Submit to DAEO status to lock an OGE 278 temporarily so only the DAEO may act on it.

Submit to DAEO - Review Filers



Submit to DAEO - Review Status page

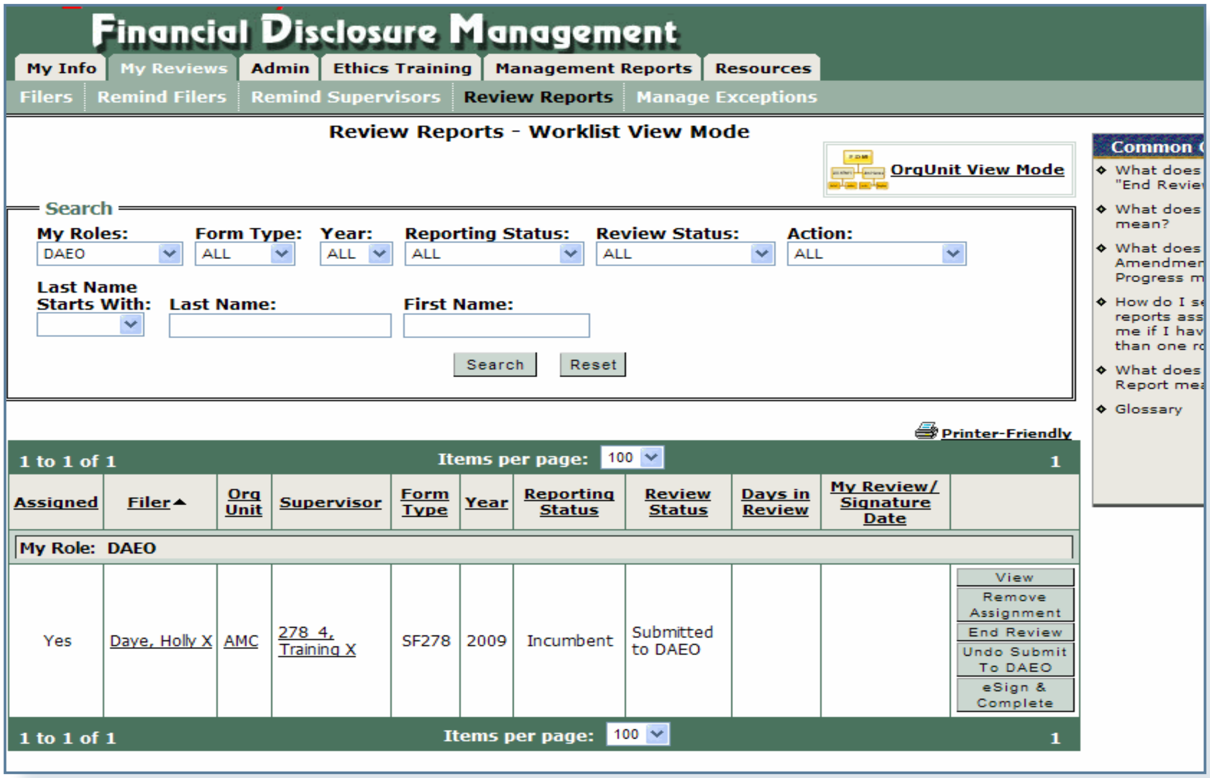


OGE 278 Certifying Authorities

In FDM, a FDM Supervisor and Senior Legal Counsel should first review and eSign an OGE 278 report before the report can be submitted to DAEO for review.

OGE 278 Certifying Authorities may take one of five actions for a report that has a Review Status of Submitted to DAEO.

.



You may want to delay completing the report if a late fee waiver request or any conflict of interest remedial action is pending so you can add a comment or attachment to the report reflecting those items/their completion. Currently, once a report is "complete," FDM does not allow any further action on that report.

Field	Description
Undo Submit to DAEO	To restore the OGE 278 to a Review Status of Under Review so the Filer may amend and the Senior Legal Counsel and or Supervisor can add comments.
eSign & Complete	To indicate the certifying authority certifies the OGE 278.
View	Allows you to review the financial disclosure report online.
End Initial Review	To signify that you have conducted an initial review of a financial disclosure report and stop the Days in Review counter.

Remove Assignment	Allows you to remove the report assignment if it was assigned erroneously. If the report Review Status is Not Started or Draft, the report is removed from FDM when the assignment is removed.

Review an Amended Report

If you have reviewed an OGE 278 report and requested revisions, you will receive an e-mail notifying you of when the Filer has made the necessary corrections, signed and resubmitted his/her report for your approval.

The Supervisor and Senior Legal Counsel must eSign the report again when a Filer amends a financial disclosure report in FDM.

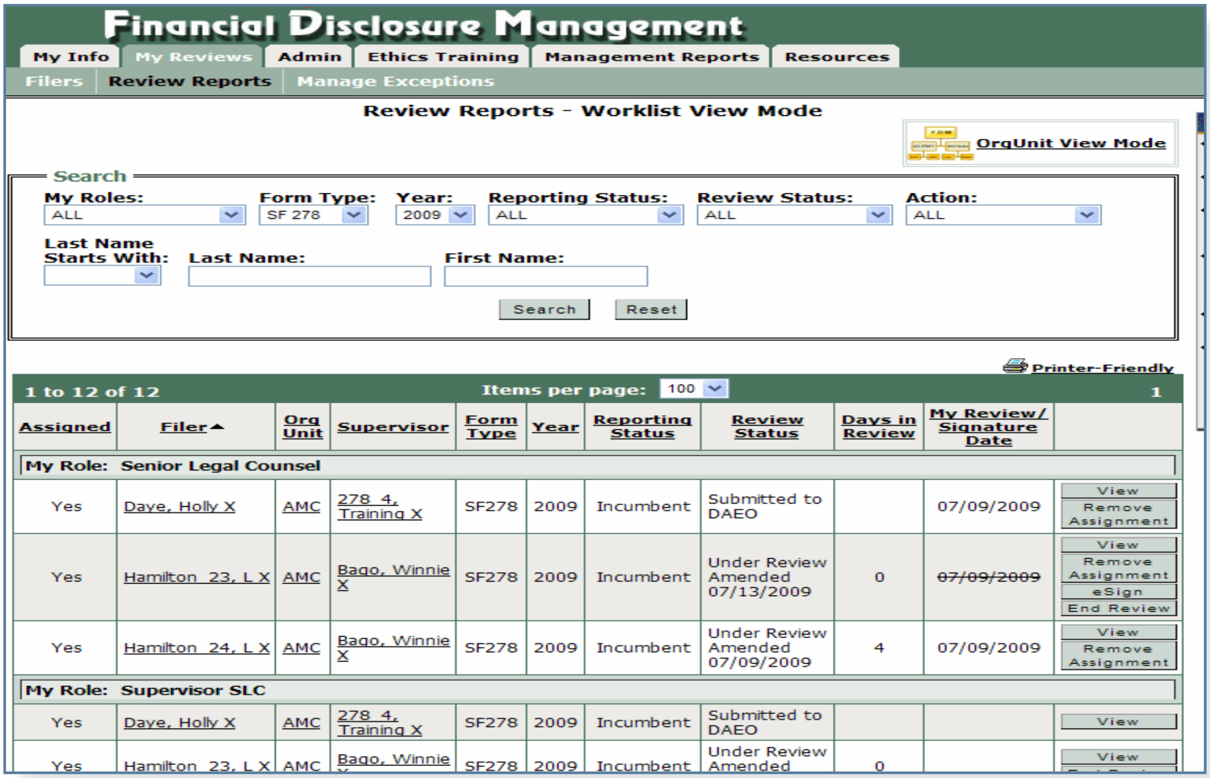
Review Process Flow

The process for reviewing an Amended OGE 278 includes the following tasks:

Once a Filer has eSigned and submitted their report in FDM, the reviewer may receive an e-mail requesting they review the report in FDM.

Reviewing an Amended OGE 278
◆ The Reviewer identifies the Filers who need their report reviewed in FDM.
◆ The Reviewer gathers any review aids for reference such as, the Filer's previous financial disclosure report, ethics agreements, agency list of contractors, etc.
◆ The Reviewer logs in to FDM.
◆ The Reviewer tracks Filer reporting activities.
◆ Reviewer reviews their Filer's Reports list.
◆ Reviewer selects a report to review.
◆ Reviewer checks the report's Audit Trail
◆ Reviewer eSigns and ends their review.
◆ Reviewer makes/adds comments where necessary.
◆ Reviewer eSigns and ends their review. Note: An e-mail notification is sent to the selected reviewers indicating that they can begin their review process.

List Only Disclosures that you need to eSign



1. In the Search area select the following and click **Search.**

- ROLE - Supervisor, Senior Legal Counsel, DAEO
- FORM TYPE - OGE 278
- YEAR - The current year
- REPORTING STATUS- All
- REVIEW STATUS - Under Review
- ACTION - All

Note: The list the amended reports at the top of your list, click the Review Status column title.

> Disclosures are grouped by your FDM role.
>
> If you have multiple FDM roles you may see that same disclosure listed two or more times on the Worklist page until you have completed your reviewing activity for that disclosure in one of your FDM roles. .

You will notice the Review Date for the report you previously reviewed is crossed out. This indicates that the report was amended and needs to be reviewed once again.

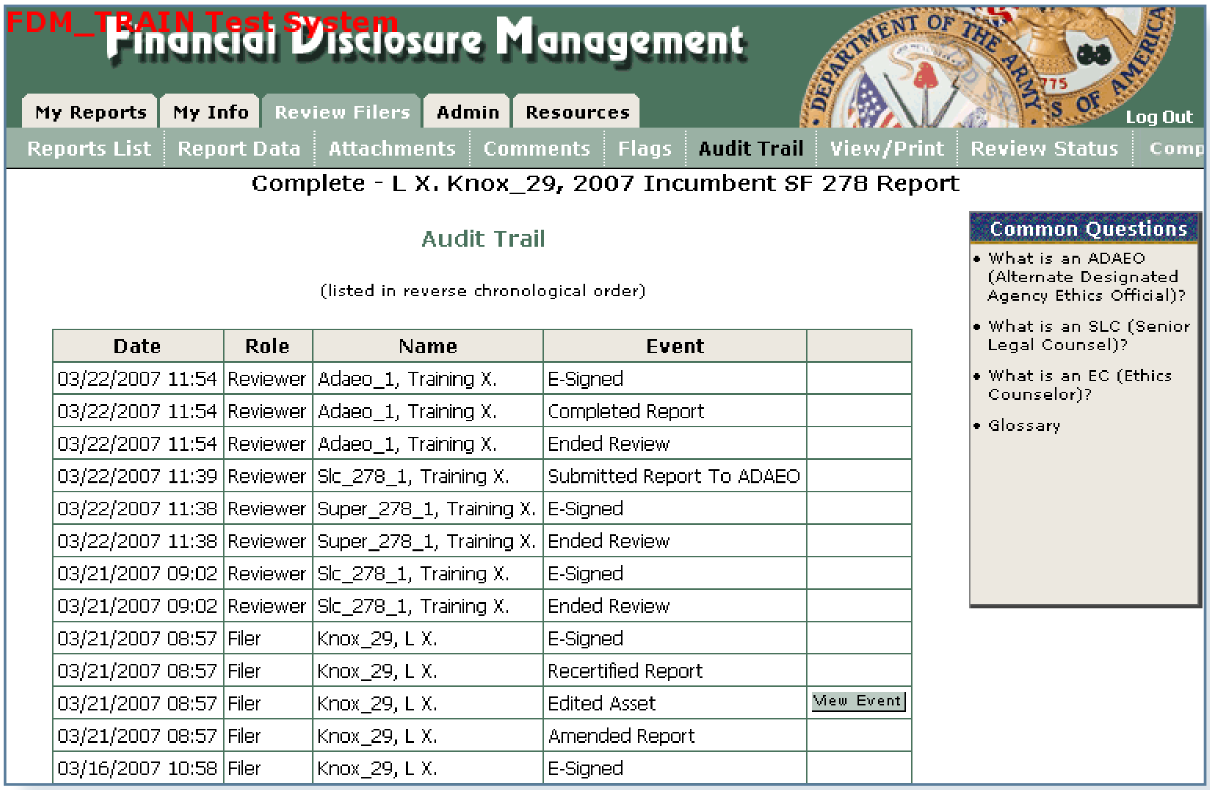
2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

Reviewing a Report's Events

Audit Trail

In FDM, the Audit Trail time stamps report activities. Review the Report's Events to verify if your recommended changes where made by the Filer. Review the Report's Events to verify if your recommended changes where made by the Filer.

3. Click **Audit Trail.** The Audit Trail page is displayed.



Date	Role	Name	Event	
03/22/2007 11:54	Reviewer	Adaeo_1, Training X.	E-Signed	
03/22/2007 11:54	Reviewer	Adaeo_1, Training X.	Completed Report	
03/22/2007 11:54	Reviewer	Adaeo_1, Training X.	Ended Review	
03/22/2007 11:39	Reviewer	Slc_278_1, Training X.	Submitted Report To ADAEO	
03/22/2007 11:38	Reviewer	Super_278_1, Training X.	E-Signed	
03/22/2007 11:38	Reviewer	Super_278_1, Training X.	Ended Review	
03/21/2007 09:02	Reviewer	Slc_278_1, Training X.	E-Signed	
03/21/2007 09:02	Reviewer	Slc_278_1, Training X.	Ended Review	
03/21/2007 08:57	Filer	Knox_29, L X.	E-Signed	
03/21/2007 08:57	Filer	Knox_29, L X.	Recertified Report	
03/21/2007 08:57	Filer	Knox_29, L X.	Edited Asset	View Event
03/21/2007 08:57	Filer	Knox_29, L X.	Amended Report	
03/16/2007 10:58	Filer	Knox_29, L X.	E-Signed	

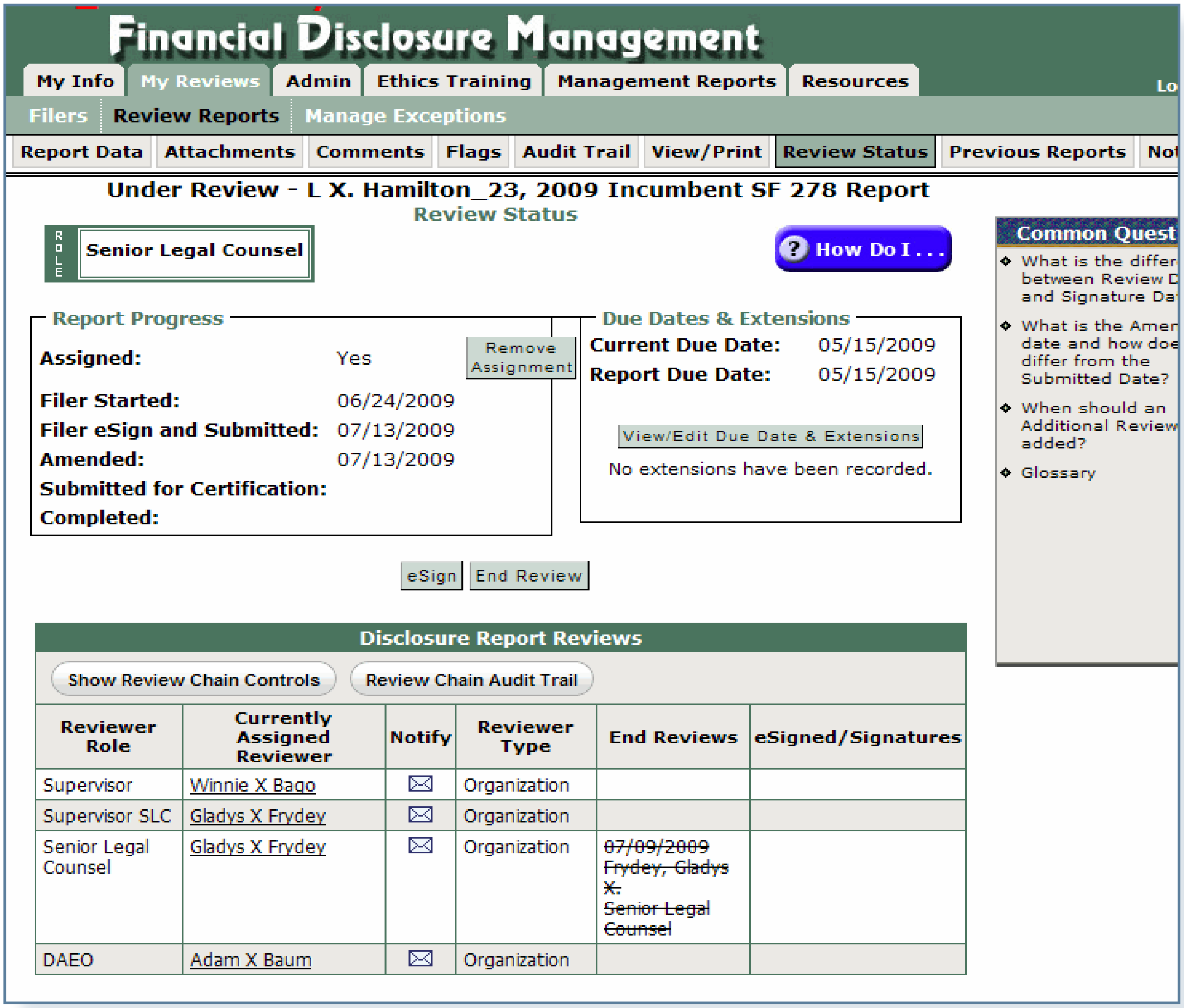
4. Review the Report's Events to verify if your recommended changes where made.

5. Click **View Event** to view an event's details.

Reviewer's eSign

6. Click **Report Data** and then **eSign**. The Reviewer's eSign page is displayed.

7. Click **Continue**. The Review Status page is displayed.



8. Click **eSign**.

9. Click the envelope icon to notify the next reviewer that this disclosure report is ready for their review.

10. Click **Report List** to continue reviewing financial disclosure reports in FDM.

Administratively Closing a Report

Administratively closing a report will reduce the effort in managing the OGE 278 filing process by 'hiding' reports which should not or cannot be certified. Only DAEOs, DAEO ECs, DAEO Assistants, can perform this function.

Incomplete or Not Started Reports

When a Filer is assigned a report, the expected outcome is a certified report. However, there are instances where the Filer does not start or complete the report. For example, the Filer has moved out of that organization where the report was originally assigned or has started a report that has not been assigned and should not be filing a report.

There are also instances where a reviewer has not signed off on a submitted report, and the report never progresses to final legal certification.

Using Manage Exceptions to Locate Reports

The majority of these reports will appear on the Manage Exceptions List. However, some reports that may have to be administratively closed can appear on the Reports Worklist (a report assigned or started erroneously that is not 30 days past due). This new functionality enables certain reviewers to remove these reports from their worklist. However, this report *WILL* display on the Review Reports - Org Unit View mode.

When a report is administratively closed, the following applies:

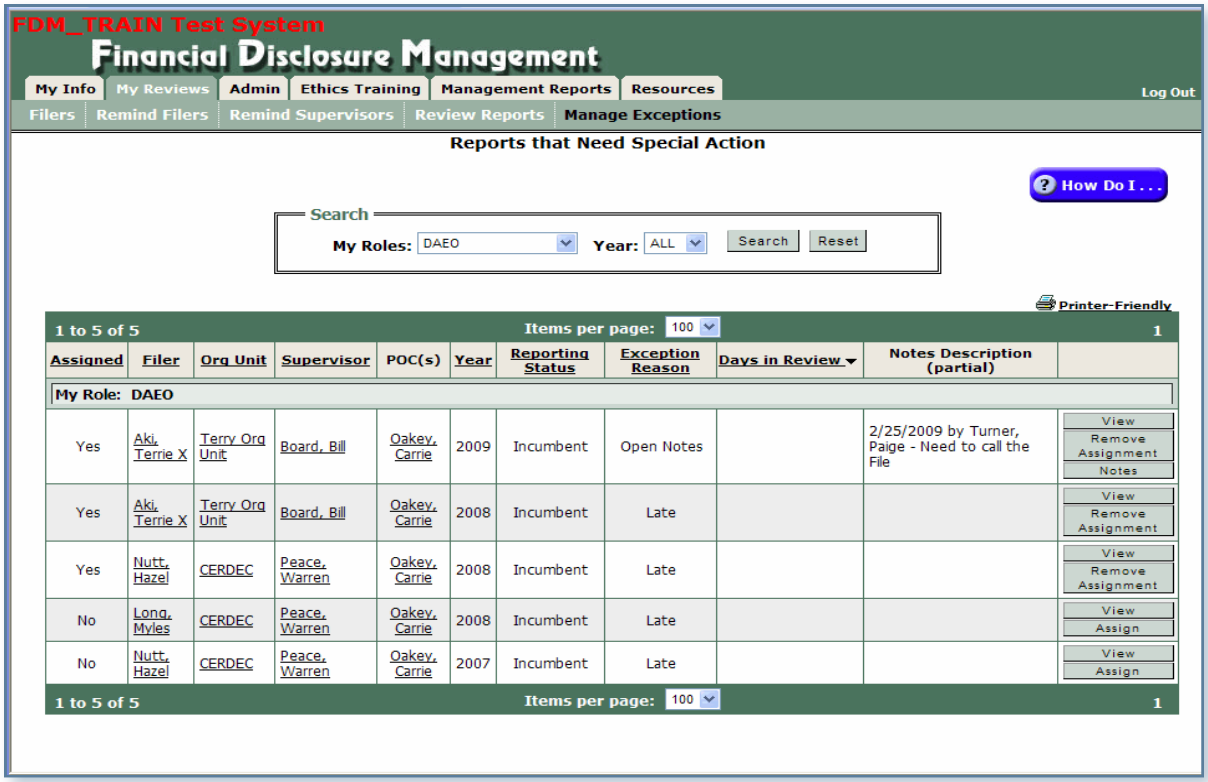
- All Reviewer actions (excluding "Complete Without Signature") are enabled for a report based on its review status.
- The Filer of a report that is administratively closed will still have the capability to take action (edit, submit, amend, and recertify) on the report.
- Administratively closed reports will appear on the Filer's list of their reports and can be used to prepopulate.
- If an administratively closed report with a status of "Draft" or "Amendment in Progress" does get submitted/recertified by the Filer, the report will no longer be marked as administratively closed.
- If the certifying official certifies an administratively closed report, the report will no longer be marked as administratively closed.

Administratively Close a Report

To close a report:

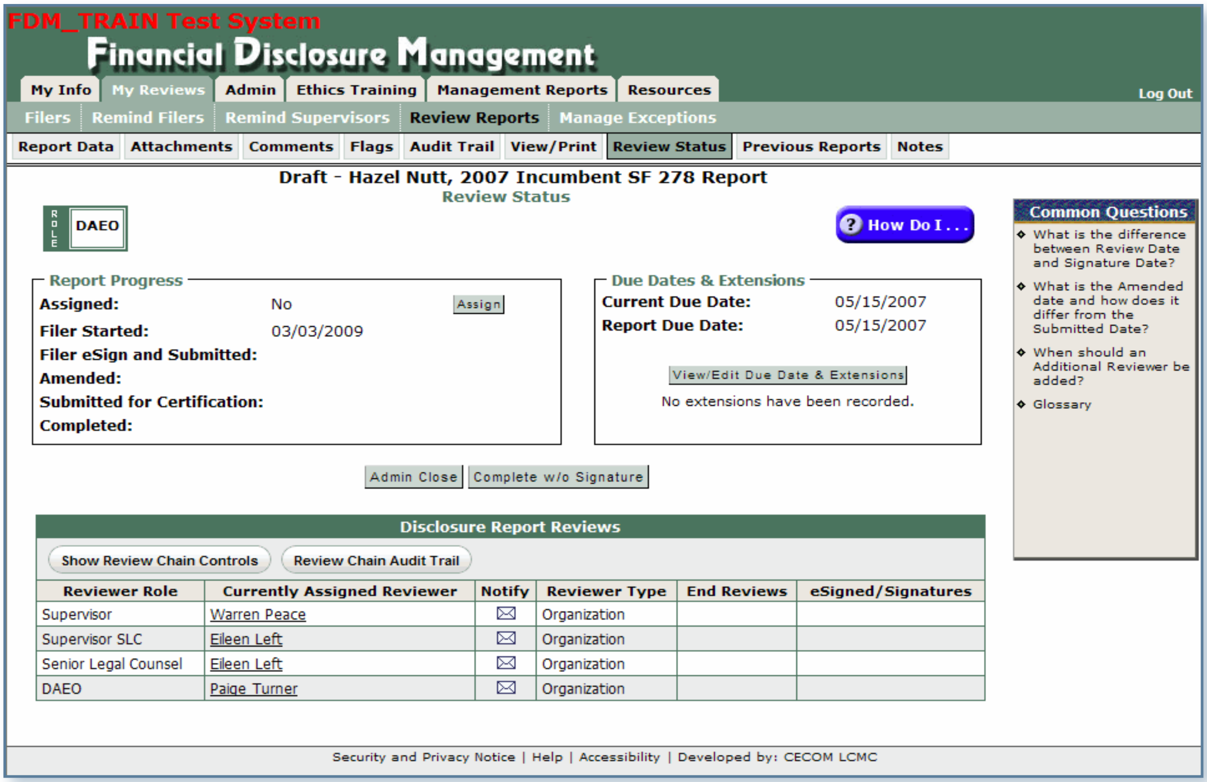
1. Select the **My Reviews / Manage Exceptions** tabs. The Reports that Need Special Action page is displayed.

2. Set the search criteria to the appropriate Role and Year, and then click on the **Search** button. Results of the search criteria are displayed.



3. Click on **View** next to the report you wish to close. The Getting Organized page is displayed.

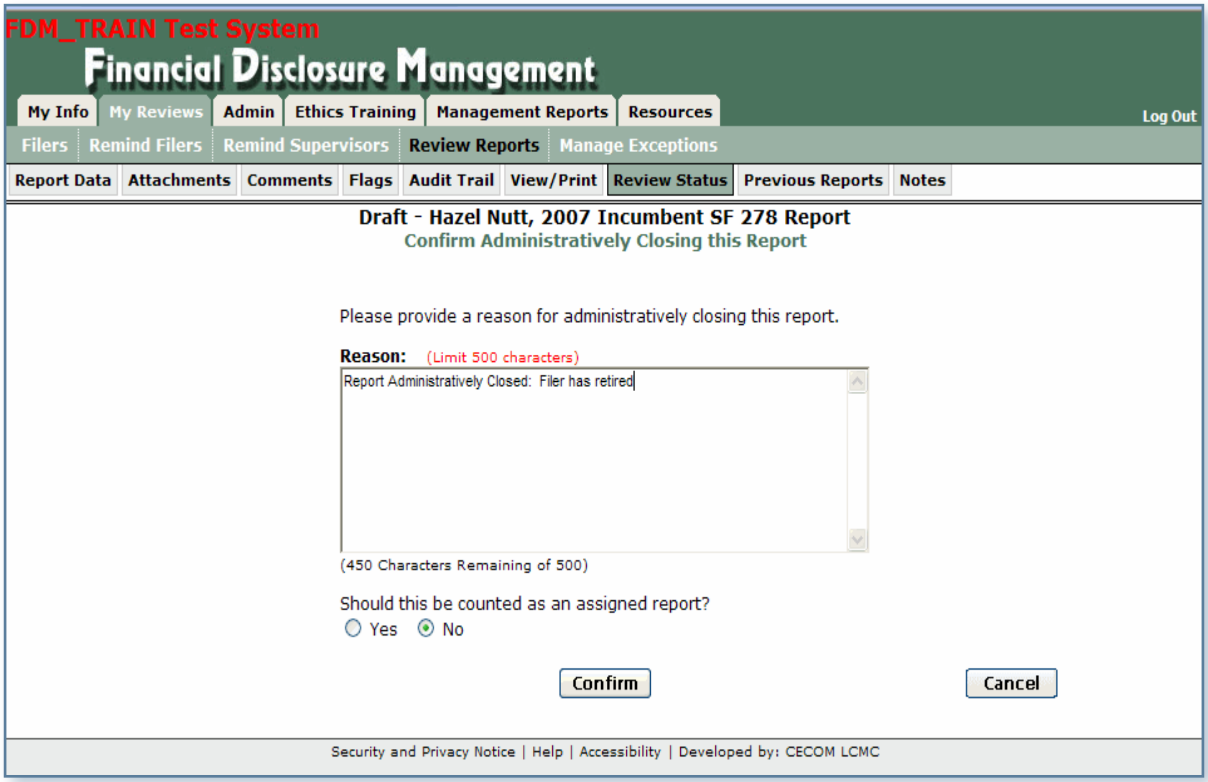
4. Click on the **Review Status** tab.



5. On the Review Status page, click on the **Admin Close** button. The Confirm Administratively Closing this Report page is displayed.

6. Enter a reason for closing the report in the **Reason** text box.

7. If the report should be counted as an assigned report for compliance purposes, select the **Yes** radio button. In most cases, **No** would be selected and is the default.



8. Click on the **Confirm** button. A message is displayed confirming that you wish to close this report.

9. Click **OK**. You return to the Review Status page. The report has been administratively closed.

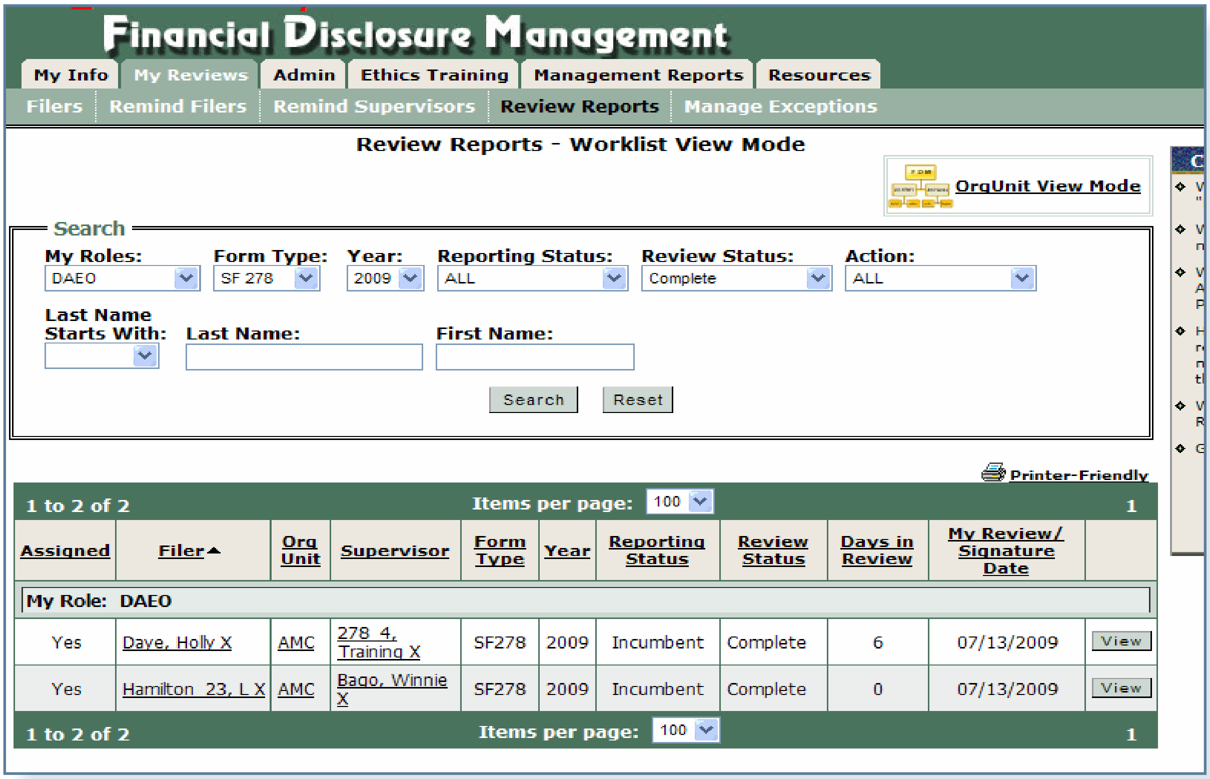
Supplemental Report Comments and Attachments

At times, reviewers may want to include additional report information after a report review is complete (e.g., a disqualification, an ethics agreement). In FDM, Supervisor reviewers, Senior Legal Counsels (SLCs), DAEOS and their ECs and assistants can add this supplemental information through report comments and report attachments.

Important Information

- Adding supplemental information to a completed report does not remove any of the report signatures or change the report's status in FDM.
- Only the person who attached or added the supplemental item can replace/edit or delete it.
- Supplemental items are not part of the "report of record" and therefore do not print on the OGE 278 report.

Adding Supplemental Information



1. In the Search area select the following and click **Search.**

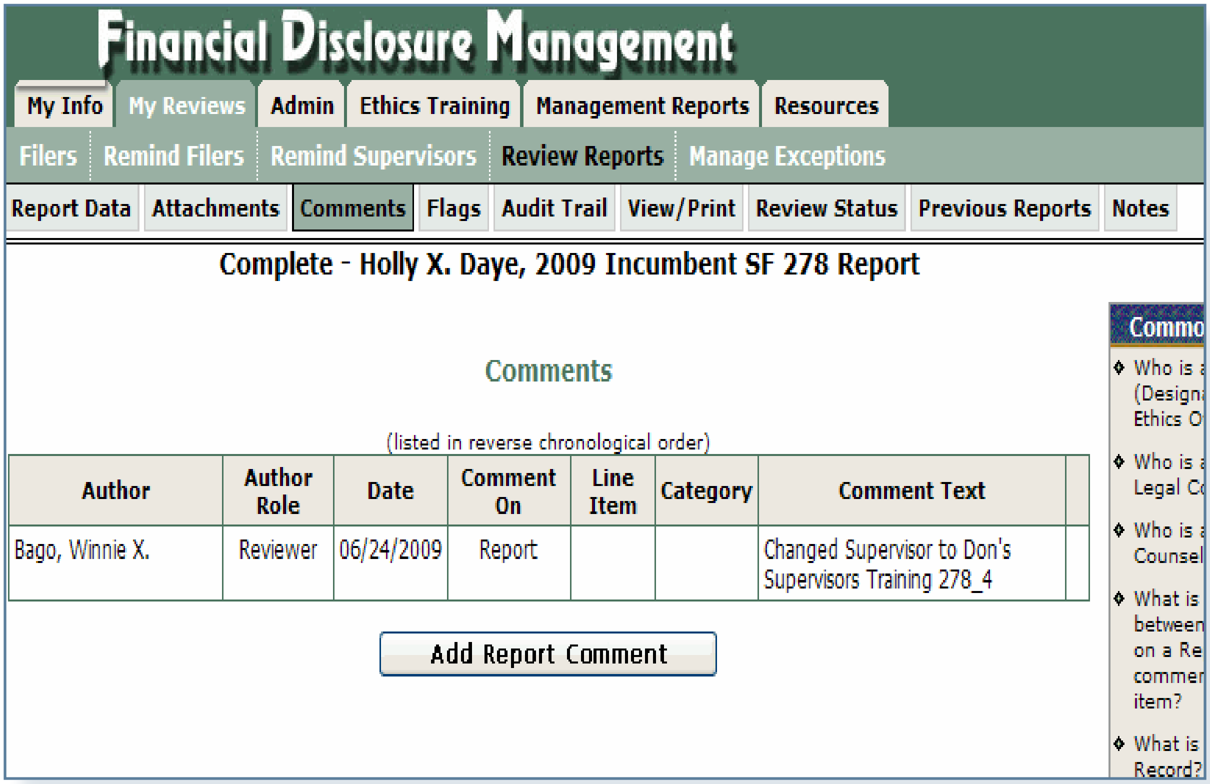
- ROLE - Supervisor, SLC, SLC EC, SLC Assistant, DAEO, DAEO EC, DAEO Assistant
- FORM TYPE - OGE 278
- YEAR - The report year
- REPORTING STATUS- All
- REVIEW STATUS - Complete
- ACTION - All

2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

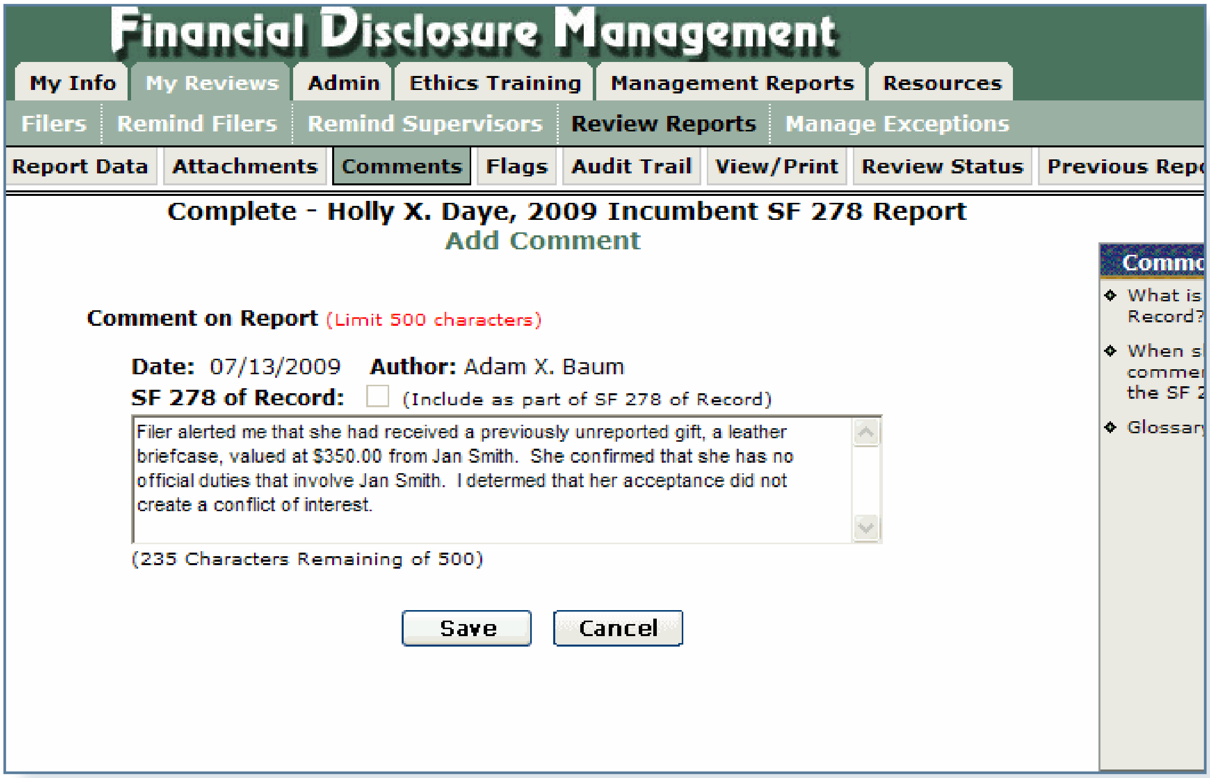
At this point, you can add either additional report comments or attachment that provides additional information, a clarification, or a correction to your completed report.

Supplemental Report Comments

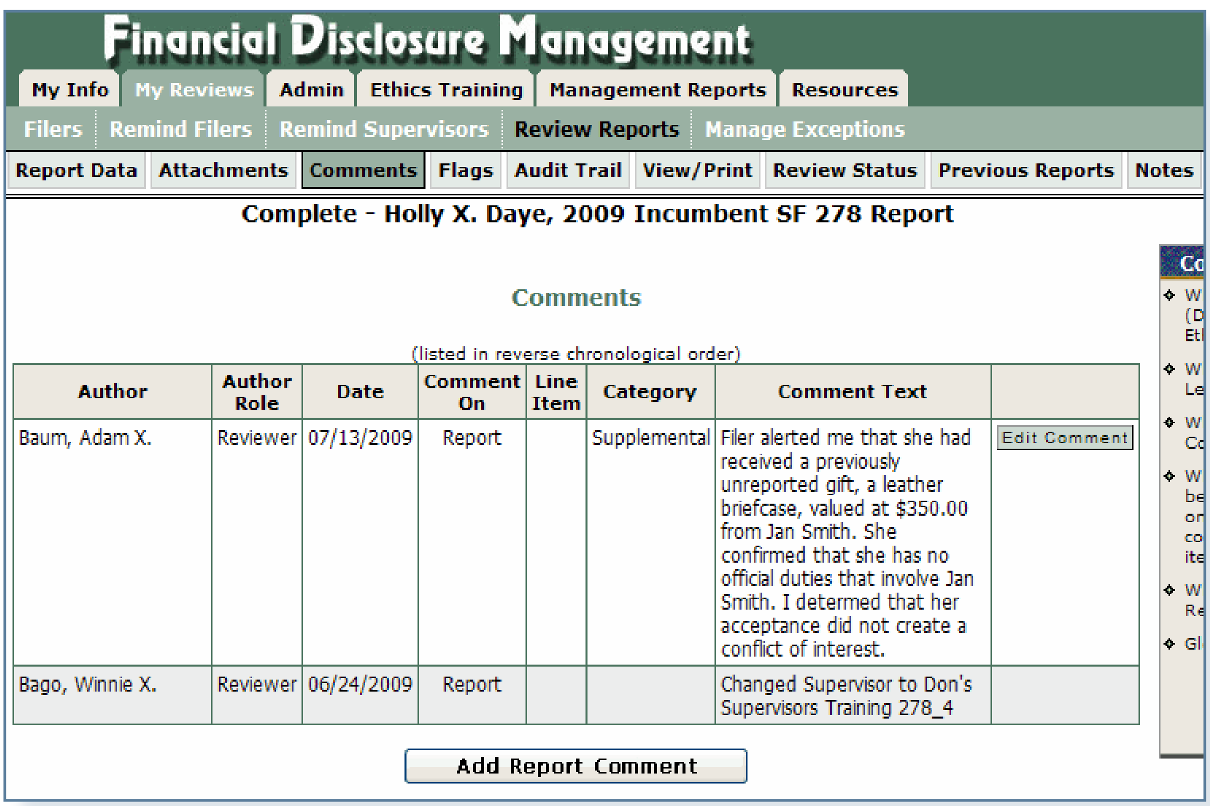
1. Click the **Comments** sub-tab. The Comments page is displayed.



2. Click **Add Report Comment**. The Add Comment page is displayed.

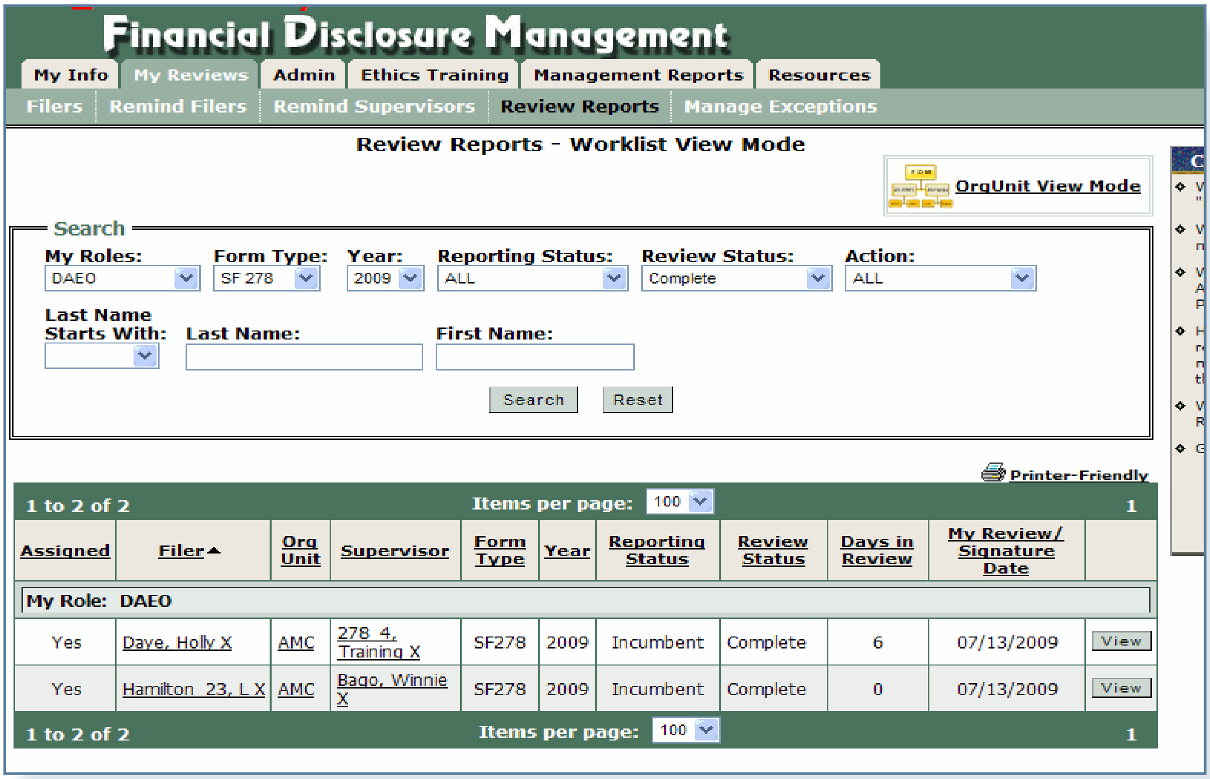


3. Type your comment and then click **Save**. The Comments page is displayed.



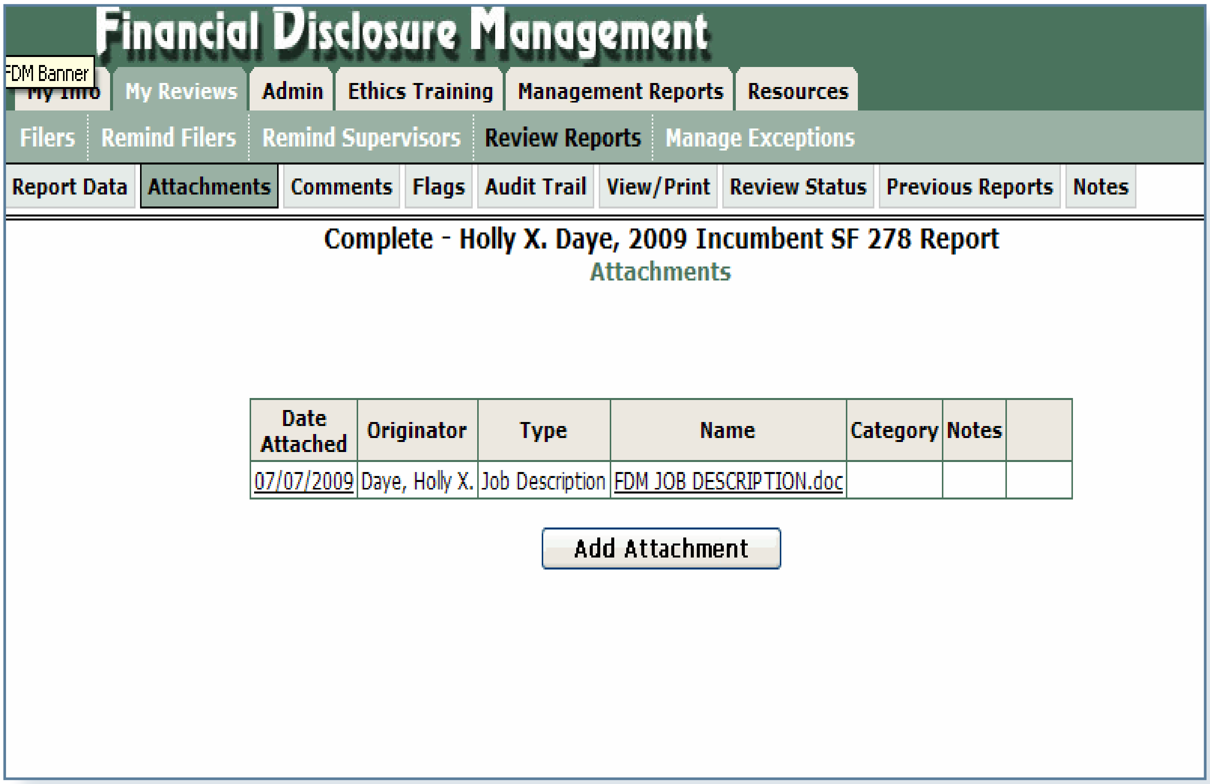
At this point, you can edit the comment you just added or add any additional report comments. Report comments cannot be deleted.

Supplemental Report Attachments

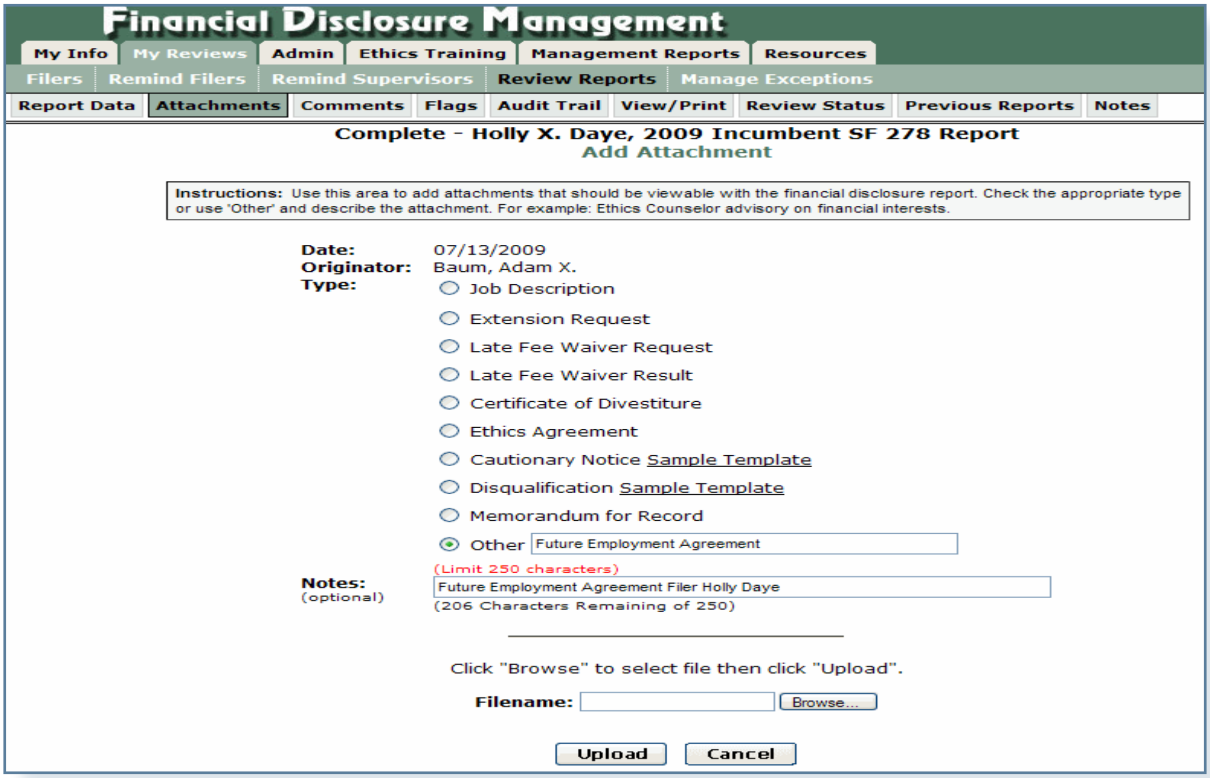


1. In the Search area select the following and click **Search.**
   - ROLE - Supervisor, SLC, SLC EC, SLC Assistant, DAEO, DAEO EC, DAEO Assistant
   - FORM TYPE - OGE 278
   - YEAR - The report year
   - REPORTING STATUS- All
   - REVIEW STATUS - Complete
   - ACTION - All
2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

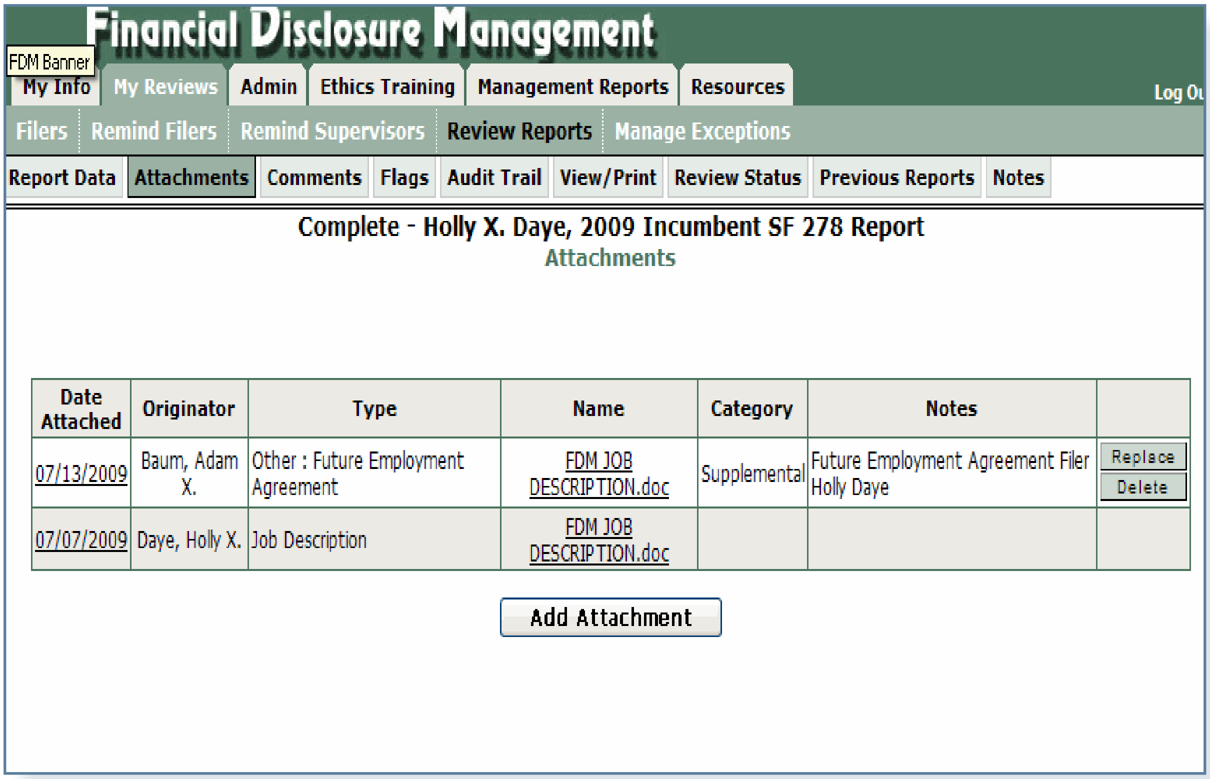
3. Click the **Attachments** sub-tab. The Attachments page is displayed.



4. Click **Add Attachment**. The Add Attachment page is displayed.



5. Select the Attachment Type and then type a brief description of your file in the Notes field.
6. Click **Browse** to locate the file you wish to upload to your financial disclosure report.
7. Once you have found the file, click **Upload**. The Attachments page is displayed.



At this point, you can Replace, Delete any existing attachments or add a new attachment.

8. Click **Continue** and then click **Save.** The Comments page is displayed.

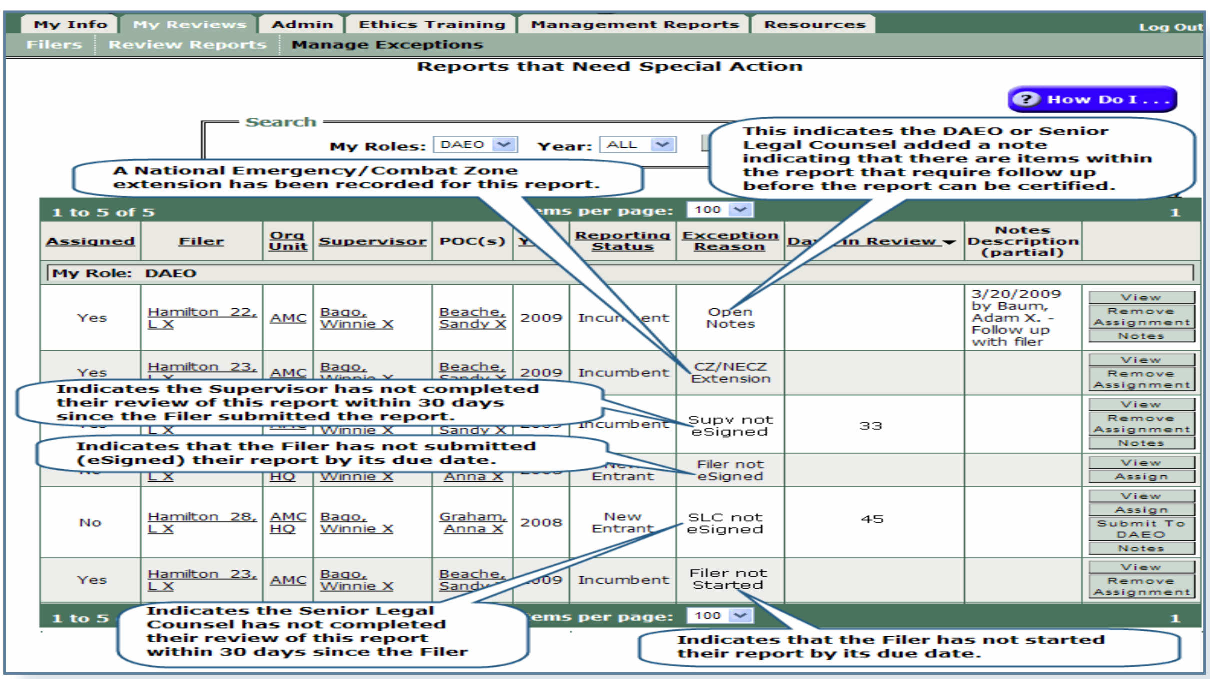
At this point, you can edit the attachment you just added or add any additional report attachments.

Manage Exceptions

The Manage Exceptions tool allows DAEOS or SLCs to track Filer and Supervisor Reviewer compliance and to manage reports that require any special action(s).

Reports display on the Manage Exceptions list if:

- OPEN NOTES - The Report has existing Notes that are not "Closed."
- CZ/NECZ Extension – A National Emergency/Combat Zone extension has been recorded for the report.
- Filer not eSigned - The Filer has not submitted the report in FDM by the report's due date.
- Supv not eSigned - More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the Supervisor has not eSigned.
- SLC not eSigned - More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the SLC has not eSigned.
- Filer not Started – The Filer has not started entering data into their report by the report's due date.



Reviewing Options for Reports that Need Special Action

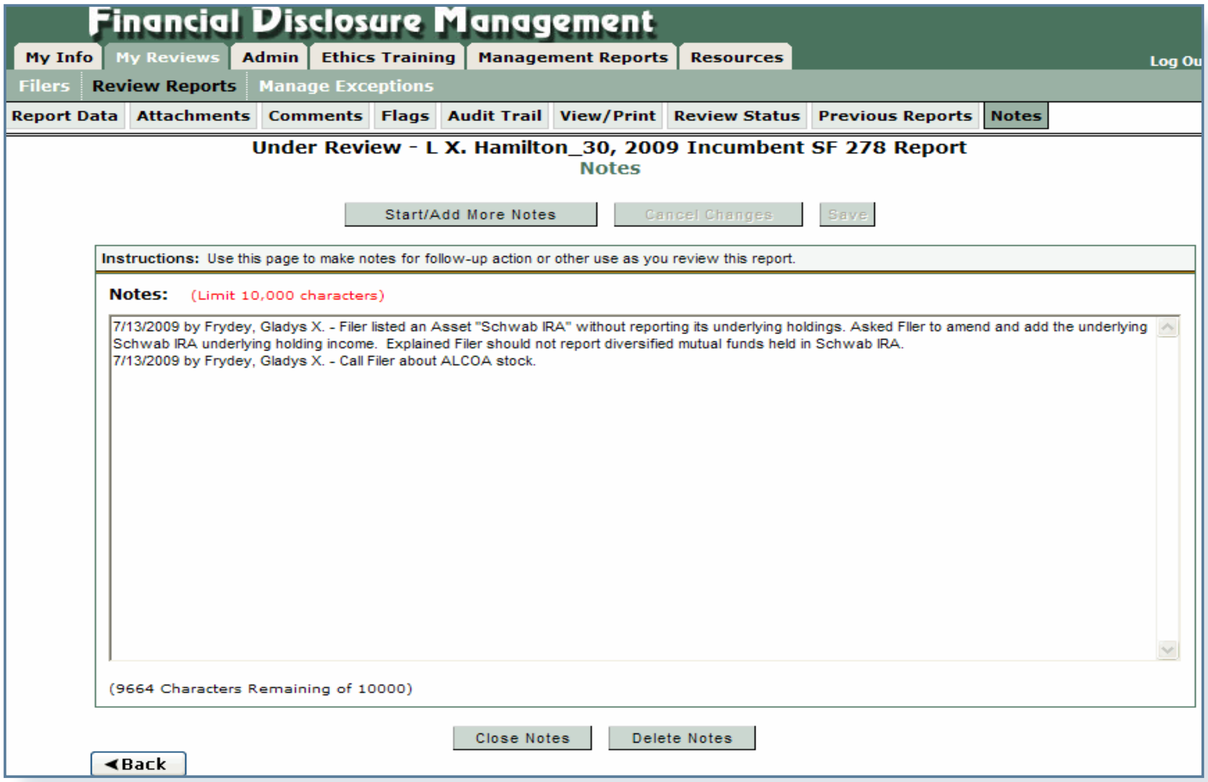
From the Reports that Need Special Action page you can:

View	Allows you to review the financial disclosure report online.
Assign	Allows you to assign the report to the Filer for compliance purposes
Remove Assignment	Filers are no longer required to file.
End Review	To signify that you have completed your review of a financial disclosure report.
Notes	To view any open notes for the report.
End Review	To signify that you have completed your review of a report.
eSign	When you have completed your review and are confident there are no conflicts of interest.

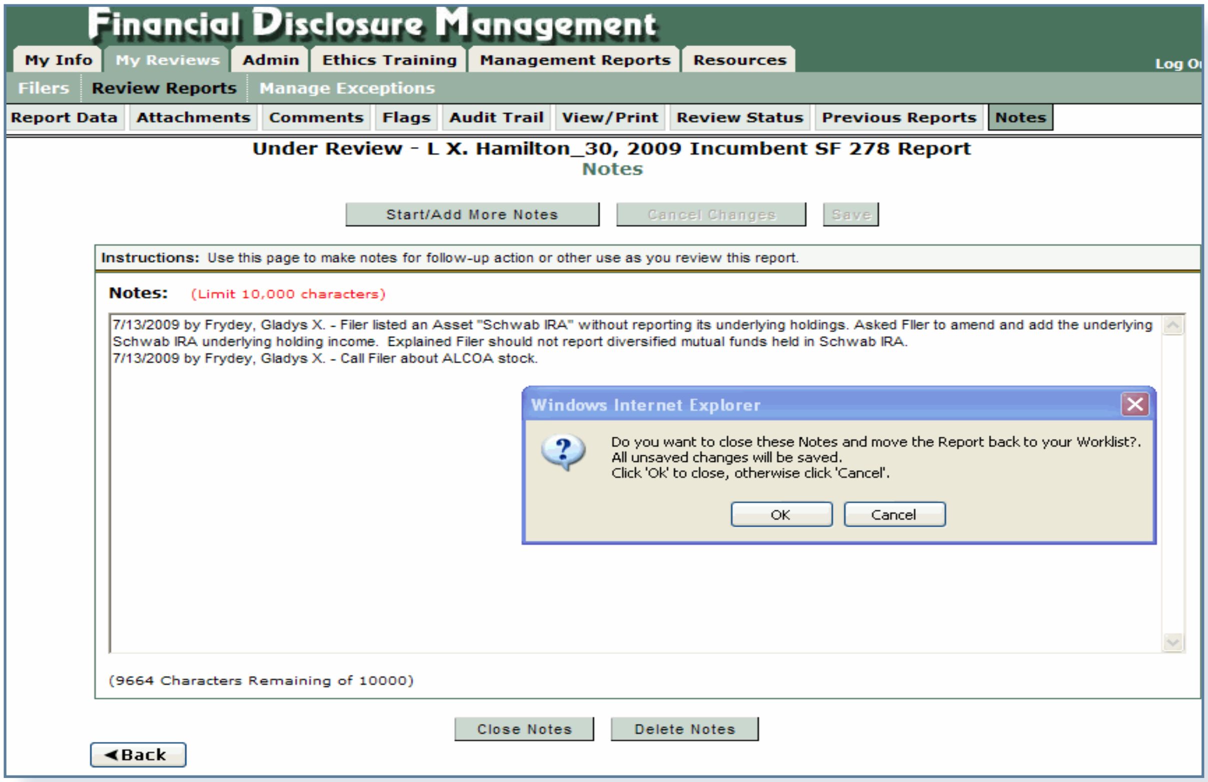
Reviewing Reports with Notes

To complete your review of a report with notes on the Manage Exceptions list:

1. If a Note exists for the report, click **Notes** beside the appropriate report. The Notes page is displayed.



2. Review the notes. When complete, you can click either **Close** or **Delete Notes** to indicate that the report review can now be completed. A confirmation message is displayed indicating the report will now move back to your Reports Worklist.



3. Click **OK.**

If the report is ready for certification, i.e., the Filer and Supervisor or SLC have eSigned:

4. Select the **Review Status** tab. The Review Status page is displayed.

5. Click **eSign** and **Complete.** Your review has been recorded and the Note is closed for the report.

Deleting a Report

DAEOS and their ECs can delete or remove 278 reports that are unneeded, erroneous, and/or “Admin Closed.” This feature allows you to get rid of abandoned Draft reports left in FDM after a Filer was deleted, as well as incomplete reports that will never be completed and those reports that are “Admin Closed.

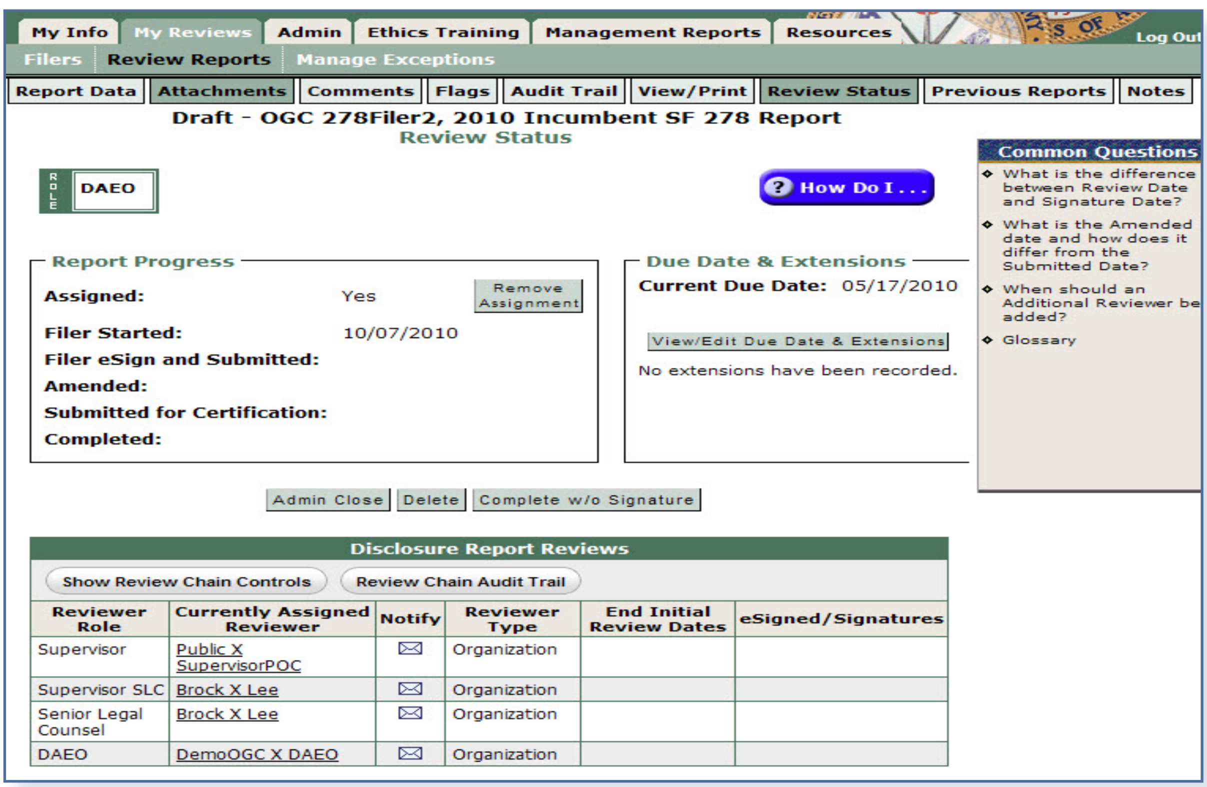
A report is eligible for deletion if:

- the report has a Review Status of Certified Complete and the date is six years after the last Filer eSign date.
- the report has a Review Status of Completed without signature and the date is six years after the report completion date.
- the report has a Review Status of Draft.
- the report has a Review Status of Under Review.

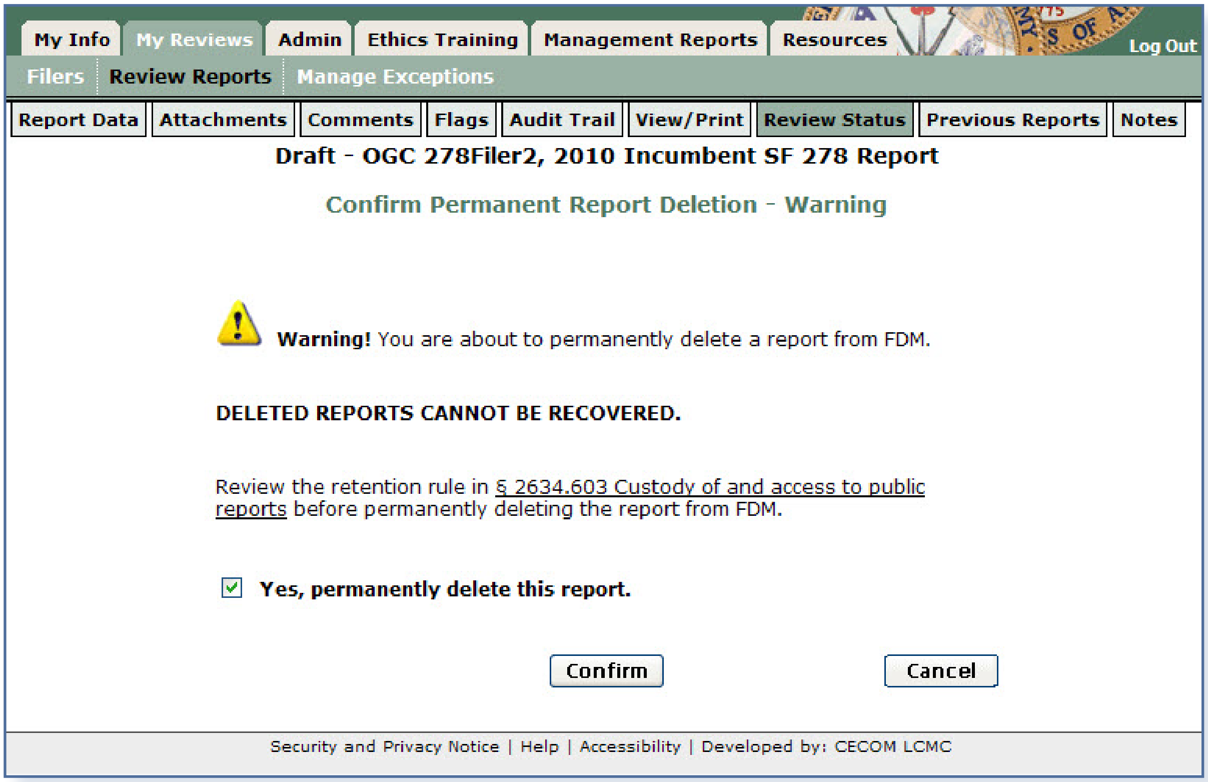
Note: Once a report is deleted from FDM, it cannot be recovered.

To delete a report from the Reports Worklist View or Org Unit view:

1. Click **My Reviews | Review Reports.**
2. In the Search area select the appropriate filers and click **Search.**
3. Click on **View** beside the report you wish to delete.
4. Click on the **Review Status** tab.



5. On the Review Status page, click on the **Delete** button. The Delete Confirmation page is displayed.



6. Select **Yes, permanently delete this report** checkbox and then click the **Confirm** button.

The report is now permanently removed from FDM.

FDM Management Reports provide Administrative and Legal FDM users a tool for monitoring the filing and reviewing progress of disclosure reports.

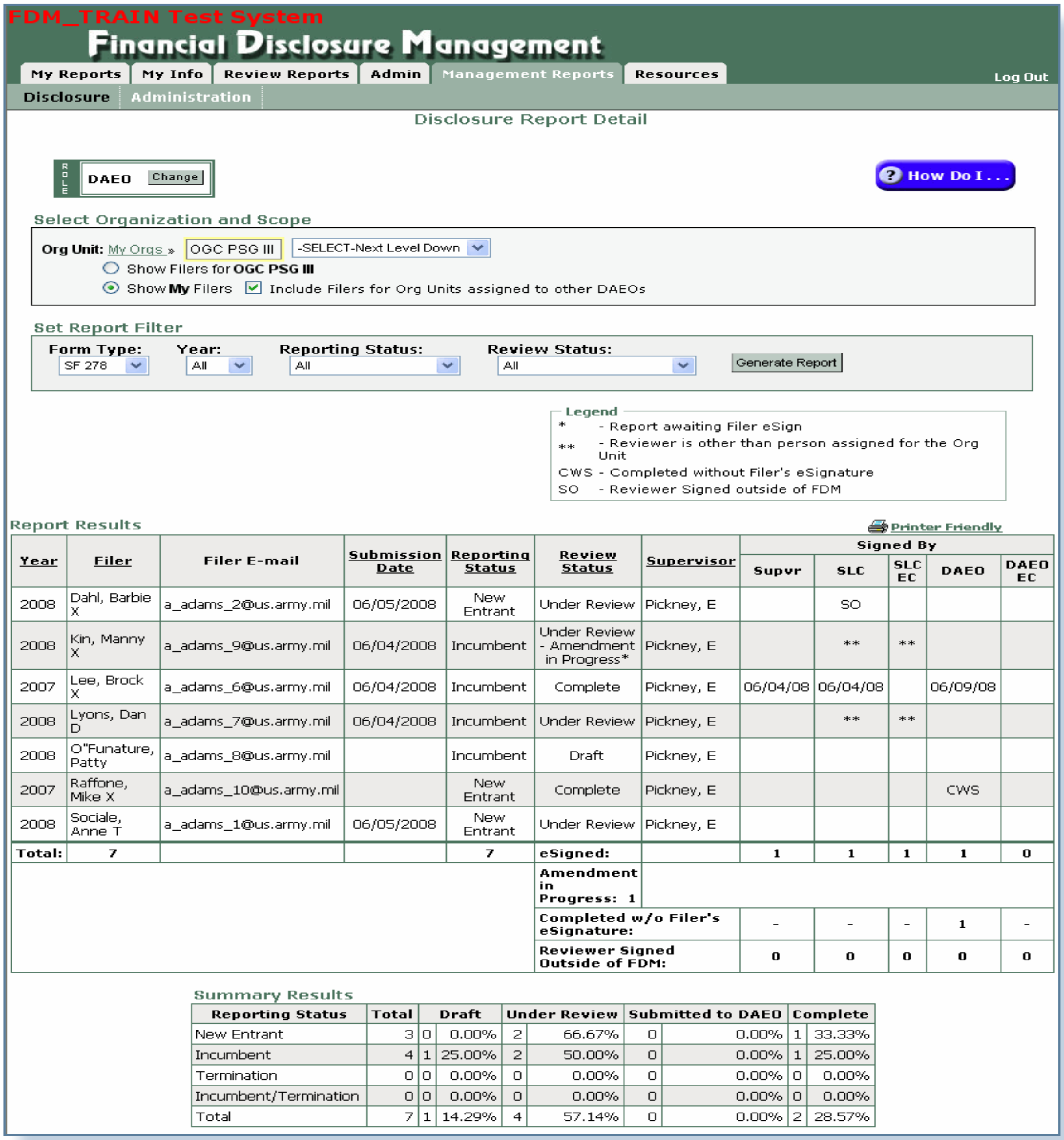
All FDM users, except Filers and Filer Assistants can generate Management Reports.

Disclosure Management Reports

Registered Filer Summary

The Registered Filer Summary Report Disclosure tab provides a summary of your current Filer's submission status by Form Type and Year. Use this report to track how many Filers for the current year have or have not submitted disclosure reports in FDM.

Disclosure Detail Report



FDM_TRAIN Test System

Financial Disclosure Management

My Reports | My Info | Review Reports | Admin | Management Reports | Resources | Log Out

Disclosure | Administration

Disclosure Report Detail

ROLE DAEO Change

How Do I . . .

Select Organization and Scope

Org Unit: My Orgs » OGC PSG III -SELECT-Next Level Down

Show Filers for **OGC PSG III**

Show **My** Filers ☑ Include Filers for Org Units assigned to other DAEOs

Set Report Filter

Form Type: SF 278 **Year:** All **Reporting Status:** All **Review Status:** All Generate Report

Legend
- * - Report awaiting Filer eSign
- ** - Reviewer is other than person assigned for the Org Unit
- CWS - Completed without Filer's eSignature
- SO - Reviewer Signed outside of FDM

Report Results

Printer Friendly

Year	Filer	Filer E-mail	Submission Date	Reporting Status	Review Status	Supervisor	Signed By: Supvr	SLC	SLC EC	DAEO	DAEO EC
2008	Dahl, Barbie X	a_adams_2@us.army.mil	06/05/2008	New Entrant	Under Review	Pickney, E		SO			
2008	Kin, Manny X	a_adams_9@us.army.mil	06/04/2008	Incumbent	Under Review - Amendment in Progress*	Pickney, E		**	**		
2007	Lee, Brock X	a_adams_6@us.army.mil	06/04/2008	Incumbent	Complete	Pickney, E	06/04/08	06/04/08		06/09/08	
2008	Lyons, Dan D	a_adams_7@us.army.mil	06/04/2008	Incumbent	Under Review	Pickney, E		**	**		
2008	O"Funature, Patty	a_adams_8@us.army.mil		Incumbent	Draft	Pickney, E					
2007	Raffone, Mike X	a_adams_10@us.army.mil		New Entrant	Complete	Pickney, E				CWS	
2008	Sociale, Anne T	a_adams_1@us.army.mil	06/05/2008	New Entrant	Under Review	Pickney, E					
Total:	**7**			**7**	**eSigned:**		**1**	**1**	**1**	**1**	**0**
					Amendment in Progress: 1						
					Completed w/o Filer's eSignature:		-	-	-	1	-
					Reviewer Signed Outside of FDM:		0	0	0	0	0

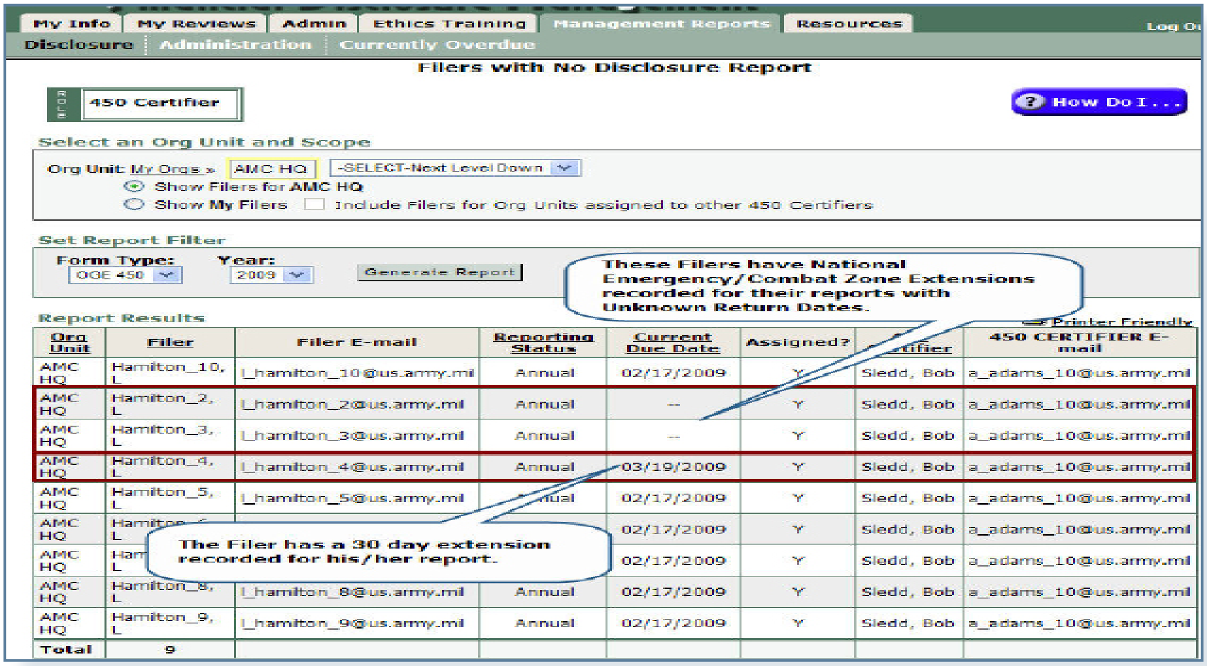
Summary Results

Reporting Status	Total	Draft		Under Review		Submitted to DAEO		Complete	
New Entrant	3	0	0.00%	2	66.67%	0	0.00%	1	33.33%
Incumbent	4	1	25.00%	2	50.00%	0	0.00%	1	25.00%
Termination	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Incumbent/Termination	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Total	7	1	14.29%	4	57.14%	0	0.00%	2	28.57%

The Disclosure Detail Report provides disclosure reporting and reviewing status detail by Org Unit, Form Type and Year. Use this report to track review progress of a disclosure report.

Note: * indicates that the reviewer is not part of the Filer's org unit review group.

Filers with no Disclosure Report

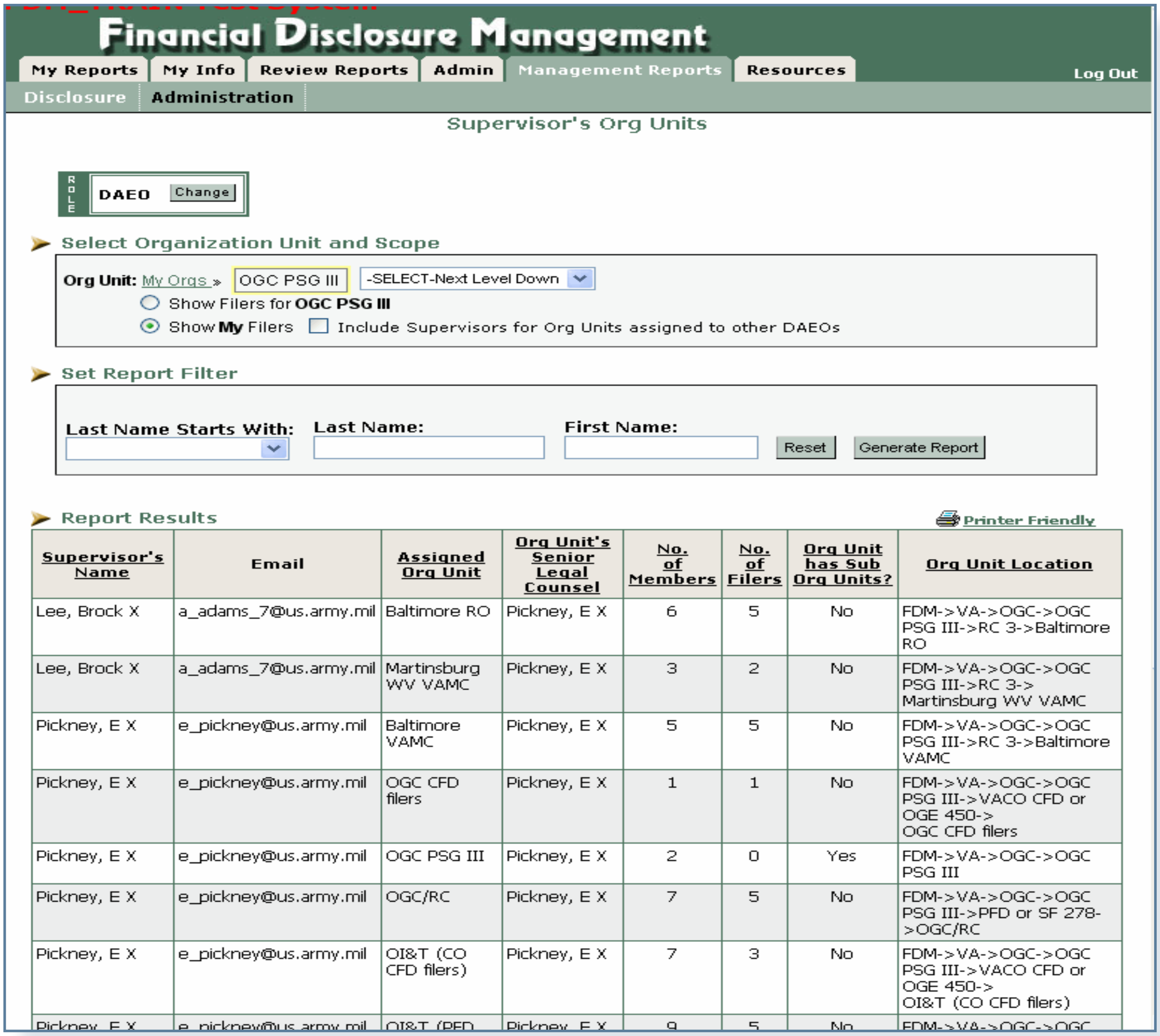


Filer's with No Disclosure Report Lists any registered Filers who have not started a report, assigned or not assigned, by the specified year and report type. Use this report to track delinquent filers in FDM.

Note: Some Filers shown on this list who have not been assigned a report are not delinquent (e.g., they filed a New Entrant in last 60 days of prior year and do not owe the Annual or Incumbent until 2010).

Administrative Management Reports

Supervisors' Org Units

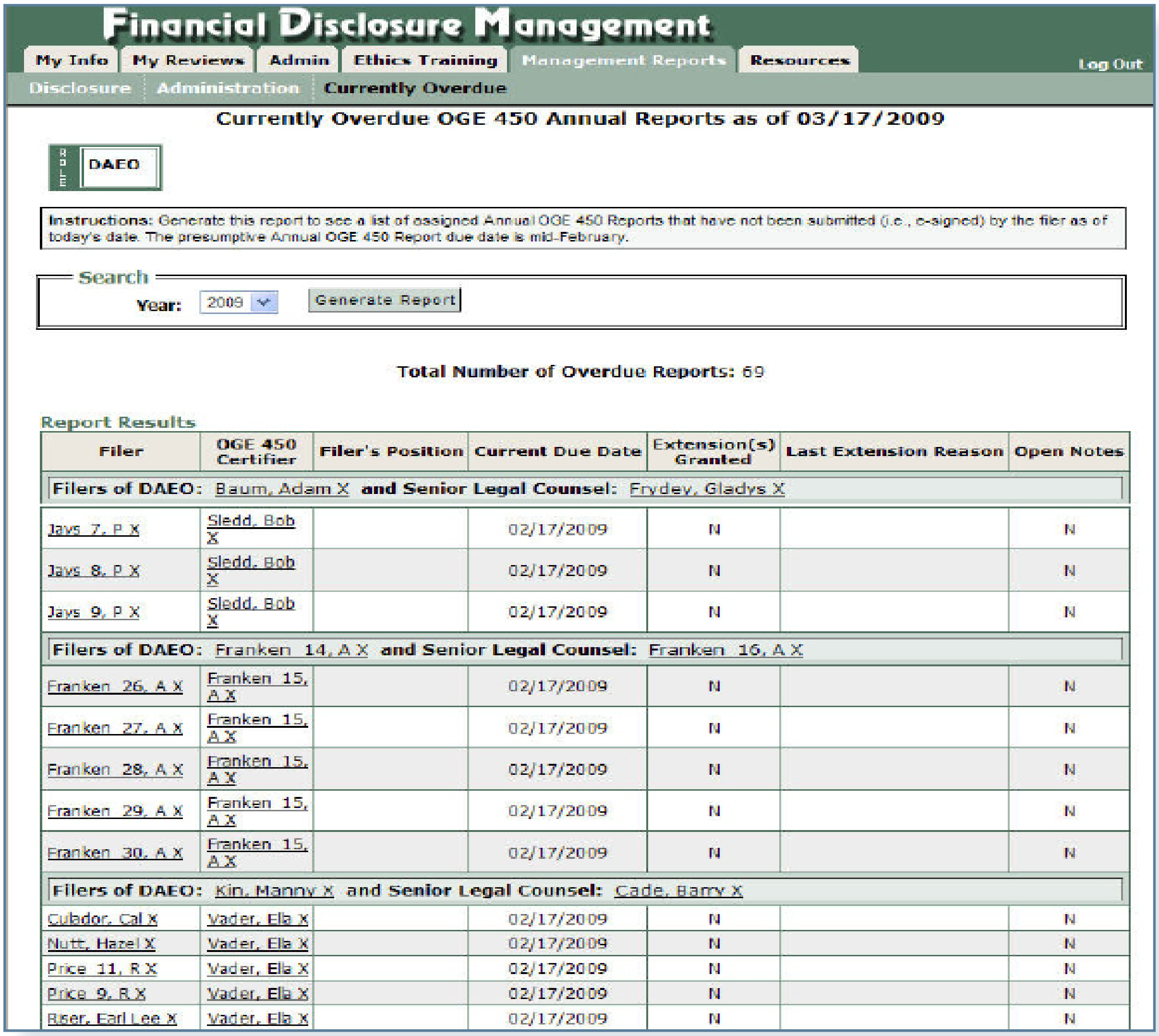


The Supervisors' Org Unit report provides a listing of Supervisors and the Org Units they are assigned to in FDM. This report facilitates the annual data clean up process prior to the upcoming filing season. Use this report to manage Supervisor to org unit associations. You should consider deleting an org unit, if a supervisor is listed for an org unit that has no Filers.

When deleting org units from FDM, check the Subordinate Org Units for Assigned Org Unit column first. If the assigned org unit has sub org units listed, then you must first delete or move the sub org units before deleting the Supervisor's Org Unit

Currently Overdue

Supervisors' Org Units

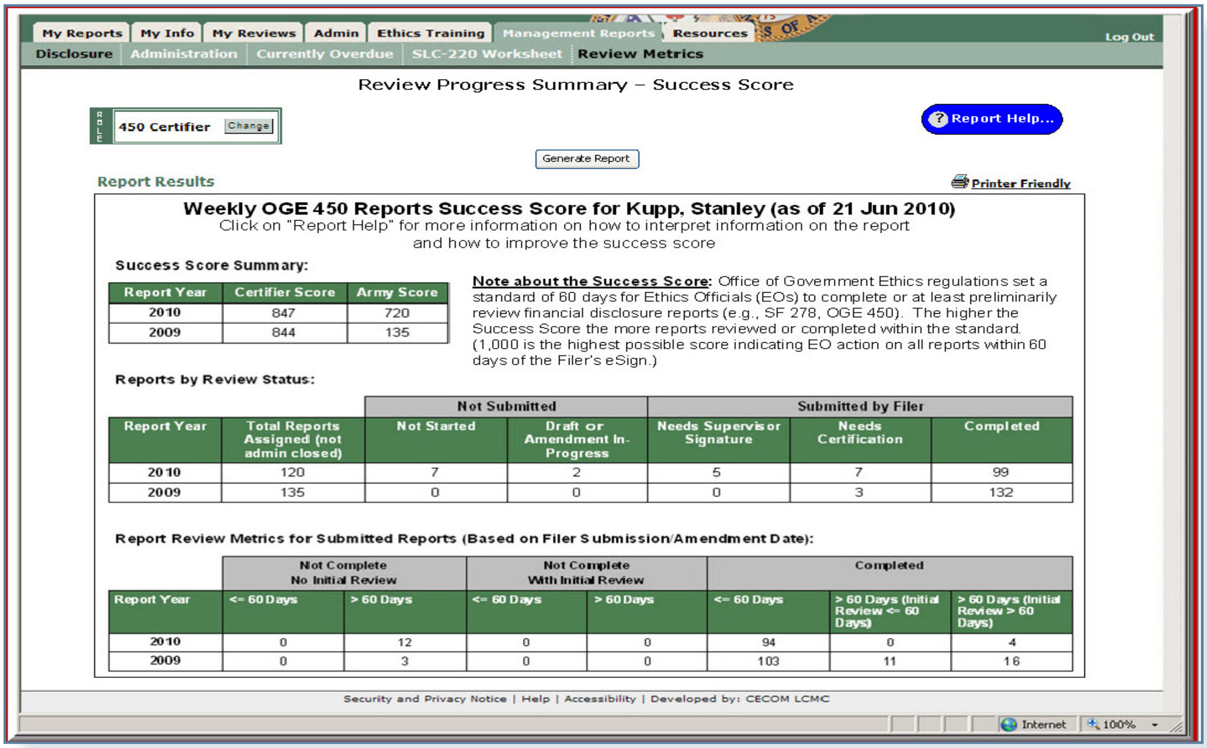


Filer	OGE 450 Certifier	Filer's Position	Current Due Date	Extension(s) Granted	Last Extension Reason	Open Notes
Filers of DAEO: Baum, Adam X and Senior Legal Counsel: Frydey, Gladys X						
Jays 7, P X	Sledd, Bob X		02/17/2009	N		N
Jays 8, P X	Sledd, Bob X		02/17/2009	N		N
Jays 9, P X	Sledd, Bob X		02/17/2009	N		N
Filers of DAEO: Franken 14, A X and Senior Legal Counsel: Franken 16, A X						
Franken 26, A X	Franken 15, A X		02/17/2009	N		N
Franken 27, A X	Franken 15, A X		02/17/2009	N		N
Franken 28, A X	Franken 15, A X		02/17/2009	N		N
Franken 29, A X	Franken 15, A X		02/17/2009	N		N
Franken 30, A X	Franken 15, A X		02/17/2009	N		N
Filers of DAEO: Kin, Manny X and Senior Legal Counsel: Cade, Barry X						
Cubdor, Cal X	Vader, Ella X		02/17/2009	N		N
Nutt, Hazel X	Vader, Ella X		02/17/2009	N		N
Price 11, R X	Vader, Ella X		02/17/2009	N		N
Price 9, R X	Vader, Ella X		02/17/2009	N		N
Riser, Earl Lee X	Vader, Ella X		02/17/2009	N		N

The Currently Overdue OGE 450 Annual Reports can be used by DDAEOS, Senior Legal Counsels and 450 Certifiers to view data about late annual reports for the current year. A report will display if it was assigned, has a Review Status of Not Started or draft, and the reporting due date already occurred.

Review Metrics

Review Progress Summary - Success Score for 450 Certifier



My Reports | My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Disclosure | Administration | Currently Overdue | SLC-220 Worksheet | Review Metrics

Review Progress Summary – Success Score

ROLE 450 Certifier Change

Report Help...

Generate Report

Report Results

Printer Friendly

Weekly OGE 450 Reports Success Score for Kupp, Stanley (as of 21 Jun 2010)

Click on "Report Help" for more information on how to interpret information on the report and how to improve the success score

Success Score Summary:

Report Year	Certifier Score	Army Score
2010	847	720
2009	844	135

Note about the Success Score: Office of Government Ethics regulations set a standard of 60 days for Ethics Officials (EOs) to complete or at least preliminarily review financial disclosure reports (e.g., SF 278, OGE 450). The higher the Success Score the more reports reviewed or completed within the standard. (1,000 is the highest possible score indicating EO action on all reports within 60 days of the Filer's eSign.)

Reports by Review Status:

		Not Submitted		Submitted by Filer		
Report Year	Total Reports Assigned (not admin closed)	Not Started	Draft or Amendment In-Progress	Needs Supervisor Signature	Needs Certification	Completed
2010	120	7	2	5	7	99
2009	135	0	0	0	3	132

Report Review Metrics for Submitted Reports (Based on Filer Submission/Amendment Date):

	Not Complete No Initial Review		Not Complete With Initial Review		Completed		
Report Year	<= 60 Days	> 60 Days	<= 60 Days	> 60 Days	<= 60 Days	> 60 Days (Initial Review <= 60 Days)	> 60 Days (Initial Review > 60 Days)
2010	0	12	0	0	94	0	4
2009	0	3	0	0	103	11	16

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Internet 100%

The Report Progress Summary – Success Score for 450 Certifiers shows 450 Certifiers how they are doing in reviewing reports within the Office of Government Ethics 60-day review rule. FDM displays for 450 Certifiers a summary table and a Success Score. The Report Progress Summary is available under Management Report | Review Metrics.

- The FDM Success Score indicates how well an Ethics Official (i.e., 450 Certifier, SLC, or DAEO) is doing toward meeting the OGE 60-day report review standard.
- A score of 1,000 indicates the Ethics Official has initially reviewed or completed all reports within 60 days of Filer's submission (eSign date).
- The higher the Success Score the closer the Ethics Official is to achieving the OGE review standard on all reports.
- The closer a score is to 0 the fewer reports being reviewed or completed within the OGE standard.

Note: The success score factors out reports that supervisors have not reviewed.

Generating a Management Report

To generate a Management Report:

1. Click **Management Reports** and then select the appropriate tab.

2. Select the type of Management Report you wish to generate:
   - Disclosure
   - Administrative
   - Currently Overdue

3. Select the Org Unit of the filers whose disclosure filing or review status you wish to view.

4. Choose the appropriate view, **Show Filers for Org Unit, Show My Filers and Include Filers for Org Units assigned to other...**

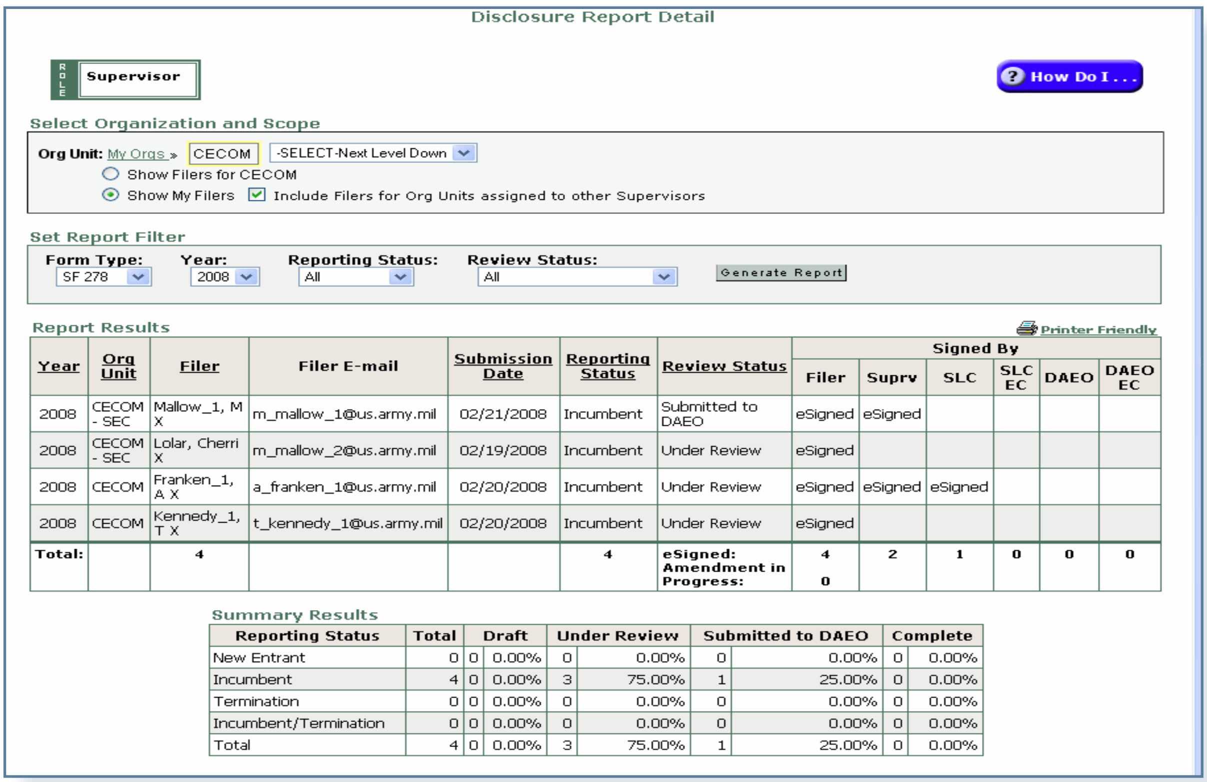
Including/Excluding additional Org Units in your View

You can opt to include or exclude specific Org Units from your Management report by selecting one of the “views” beneath the Org Unit Breadcrumb trail.

View Option	Description
Show Filers for Org Unit...	Limits your report to disclosures for Filers in the currently selected Org Unit only. In this example, only the filers in CECOM are listed.
Show My Filers	Lists the disclosure status for all of the filers you are responsible for, in the selected Org Unit and any subordinate Org Units. For example, if you are responsible for 3 Org Units, CECOM and 2 subordinate Org Units, selecting Show My Filers lists the disclosure status for the Filers in your 3 Org Units.
Include Filers for Org Units assigned to other ...	Lists the disclosure status for all filers in the Org Units you are responsible for and for the Org Units that are assigned to other FDM users with the same role. For example, if you are a supervisor for 3 org units, selecting Include Filers lists the disclosure status for the Filers in your 3 Org Units plus the Org Units with different supervisors beneath you.

5. Select the appropriate Report Filters to limit your report to only certain Form Type, Reporting Status, etc.

6. Once you have made your filter selections, click **Generate Report.**



Disclosure Report Detail

ROLE Supervisor

How Do I . . .

Select Organization and Scope

Org Unit: My Orgs » CECOM -SELECT-Next Level Down

Show Filers for CECOM

Show My Filers Include Filers for Org Units assigned to other Supervisors

Set Report Filter

Form Type: SF 278 Year: 2008 Reporting Status: All Review Status: All Generate Report

Report Results Printer Friendly

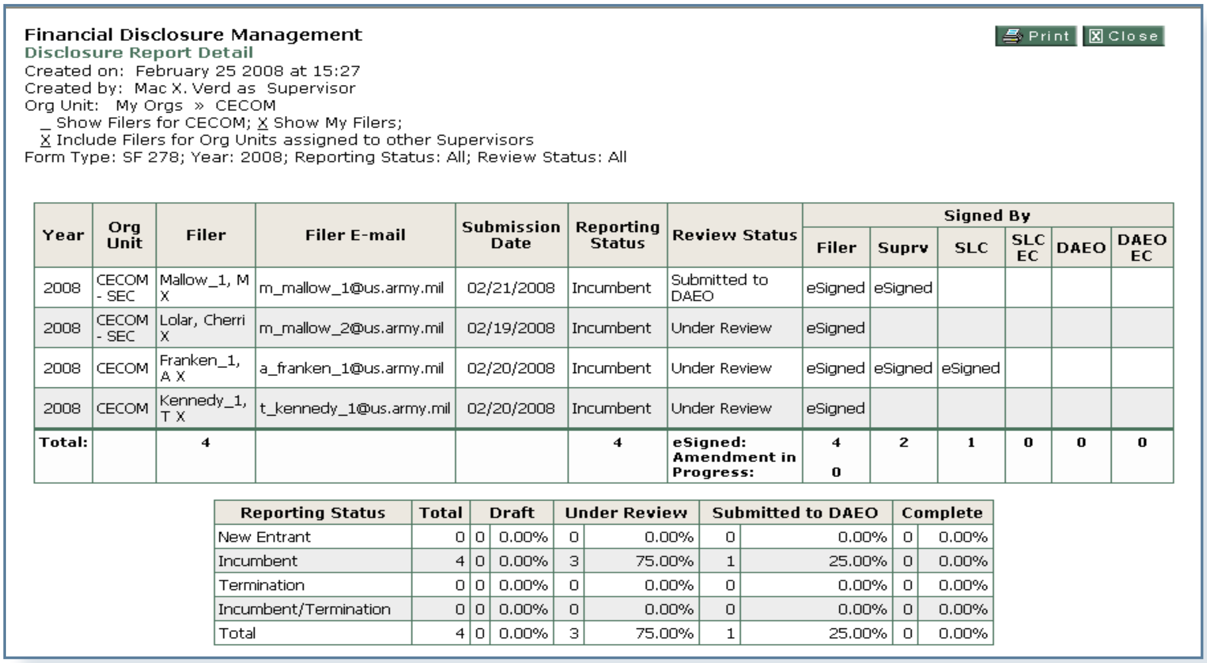
Year	Org Unit	Filer	Filer E-mail	Submission Date	Reporting Status	Review Status	Signed By: Filer	Suprv	SLC	SLC EC	DAEO	DAEO EC
2008	CECOM - SEC	Mallow_1, M X	m_mallow_1@us.army.mil	02/21/2008	Incumbent	Submitted to DAEO	eSigned	eSigned				
2008	CECOM - SEC	Lolar, Cherri X	m_mallow_2@us.army.mil	02/19/2008	Incumbent	Under Review	eSigned					
2008	CECOM	Franken_1, A X	a_franken_1@us.army.mil	02/20/2008	Incumbent	Under Review	eSigned	eSigned	eSigned			
2008	CECOM	Kennedy_1, T X	t_kennedy_1@us.army.mil	02/20/2008	Incumbent	Under Review	eSigned					
Total:		**4**			**4**	**eSigned: Amendment in Progress:**	**4** **0**	**2**	**1**	**0**	**0**	**0**

Summary Results

Reporting Status	Total	Draft		Under Review		Submitted to DAEO		Complete	
New Entrant	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Incumbent	4	0	0.00%	3	75.00%	1	25.00%	0	0.00%
Termination	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Incumbent/Termination	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Total	4	0	0.00%	3	75.00%	1	25.00%	0	0.00%

Printing a Management Report

7. Once you have generated your management report, click **Printer Friendly.** .



Financial Disclosure Management
Disclosure Report Detail
Created on: February 25 2008 at 15:27
Created by: Mac X. Verd as Supervisor
Org Unit: My Orgs » CECOM
_ Show Filers for CECOM; X Show My Filers;
X Include Filers for Org Units assigned to other Supervisors
Form Type: SF 278; Year: 2008; Reporting Status: All; Review Status: All

Print | Close

Year	Org Unit	Filer	Filer E-mail	Submission Date	Reporting Status	Review Status	Signed By					
							Filer	Suprv	SLC	SLC EC	DAEO	DAEO EC
2008	CECOM - SEC	Mallow_1, M X	m_mallow_1@us.army.mil	02/21/2008	Incumbent	Submitted to DAEO	eSigned	eSigned				
2008	CECOM - SEC	Lolar, Cherri X	m_mallow_2@us.army.mil	02/19/2008	Incumbent	Under Review	eSigned					
2008	CECOM	Franken_1, A X	a_franken_1@us.army.mil	02/20/2008	Incumbent	Under Review	eSigned	eSigned	eSigned			
2008	CECOM	Kennedy_1, T X	t_kennedy_1@us.army.mil	02/20/2008	Incumbent	Under Review	eSigned					
Total:		**4**			**4**	**eSigned:** **Amendment in Progress:**	**4** **0**	**2**	**1**	**0**	**0**	**0**

Reporting Status	Total	Draft		Under Review		Submitted to DAEO		Complete	
New Entrant	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Incumbent	4	0	0.00%	3	75.00%	1	25.00%	0	0.00%
Termination	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Incumbent/Termination	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Total	4	0	0.00%	3	75.00%	1	25.00%	0	0.00%

8. Click **Print** to print your report at your local printer.

Ethics Training Tracking

Any individual who is required to file a Financial Disclosure Report is required to attend annual ethics training. New department employees receive Initial ethics training when (or within 90 days of) assuming a position that requires filing either an SF 278 (Public Financial Disclosure Report) or an OGE 450 (Confidential Financial Disclosure Report).

FDM provides an "Ethics Training" tab for Ethics Counselors to notify Filers about ethics training and to record who attended training. The recorded information can later be compiled for the agency's annual ethics report to OGE.

Note: Ethics training must be recorded in the year presented, i.e., ethics training completed in 2010 must be recorded in FDM on the Ethics Training tab NLT 31 Dec 2010.

Type of Ethics Training

There are two types of ethics training:

- Initial Training -- All Filers who are required to file an OGE 450 or SF 278 New Entrant Report are to receive initial ethics training within 90 days after entering a covered position in a new agency.
- Annual Training -- All personnel required to file the SF 278 or an OGE Form 450 must receive annual ethics training.

Training Recorders

The following roles in FDM can record and report ethics training:

- DAEO or DAEO EC
- Agency Administrator
- SLC, SLC EC or SLC Assistants
- 450 Certifier, 450 Certifier EC or 450 Certifier Assistant (for 450 Filers only)
- POCs (for 450 Filers only)

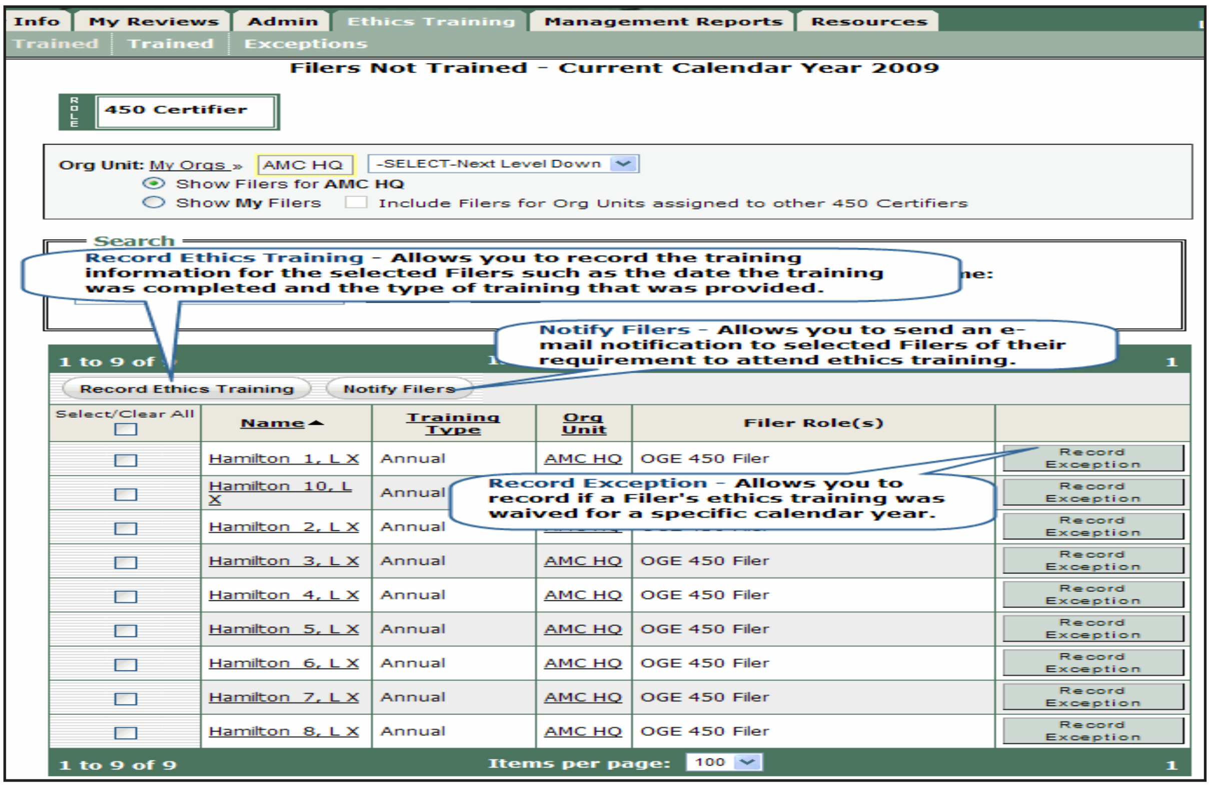
Note: A training recorder may create, view or update a Filer's training record only for Filers within their organization.

Notifying Filers of Ethics Training Requirement

On the Filers Not Trained page, you can notify Filers of where and when ethics training will be held and record that a Filer has completed their ethics training. You can send out an e-mail to multiple Filers if they are to attend the same ethics training. In addition, if multiple Filers took the same ethics training course, you can enter the information for all the Filers at one time. If a Filer's ethics training is waived for a calendar year, and this is generally very rare, the exception can also be recorded from this page.

To notify Filers of their requirement to attend ethics training:

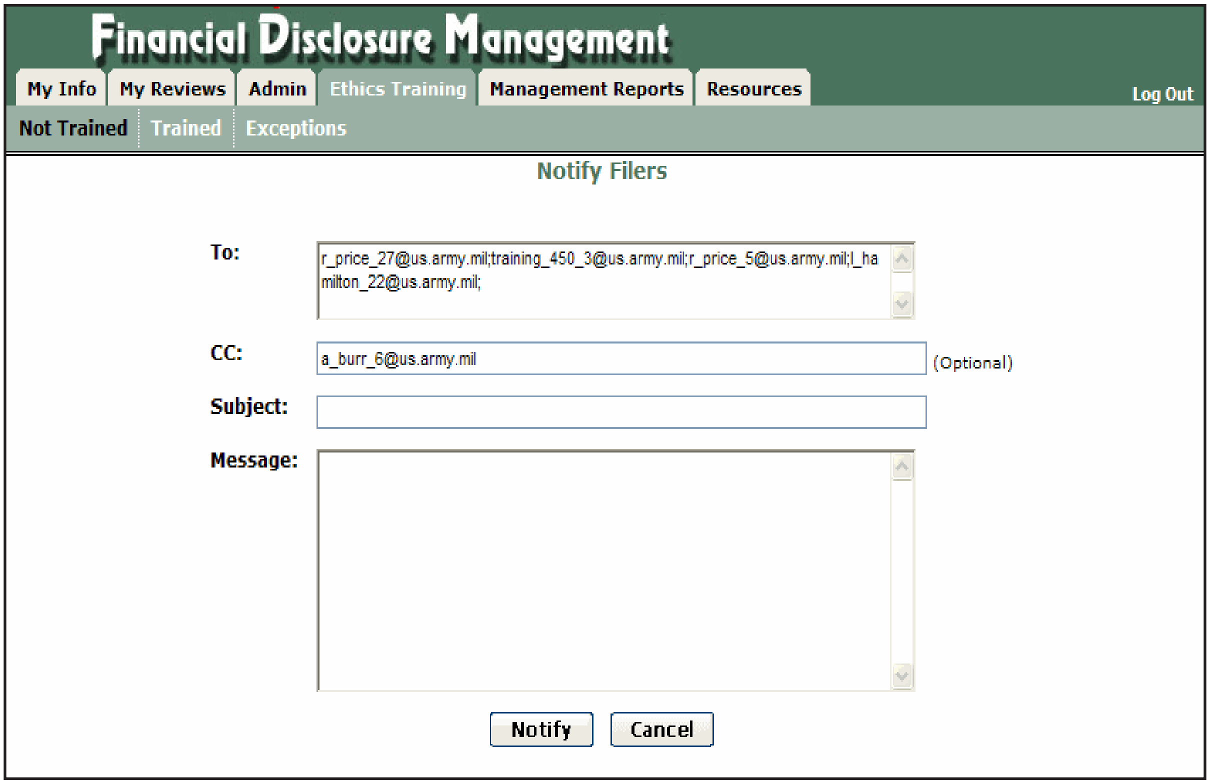
1. In FDM, select **Ethics Training | Not Trained**.



2. On the breadcrumb trail, select the Org Unit of the Filers you wish to notify, or select S**how My Filers /Include Filers for Org Units assigned to other** to display a list of all Filers.

3. Click on the checkboxes beside the Filers you wish to notify.

4. Click on the **Notify Filers** button. The Notify Filers screen is displayed.



5. Enter a **Subject** in the Subject field and type a **message** in the Message field.

6. When all information is entered, click on the **Notify** button. An e-mail message is sent to all selected Filers of their requirement to attend annual Ethics Training.

NOTE: You can only advise multiple Filers for annual training.

Recording Ethics Training Completion

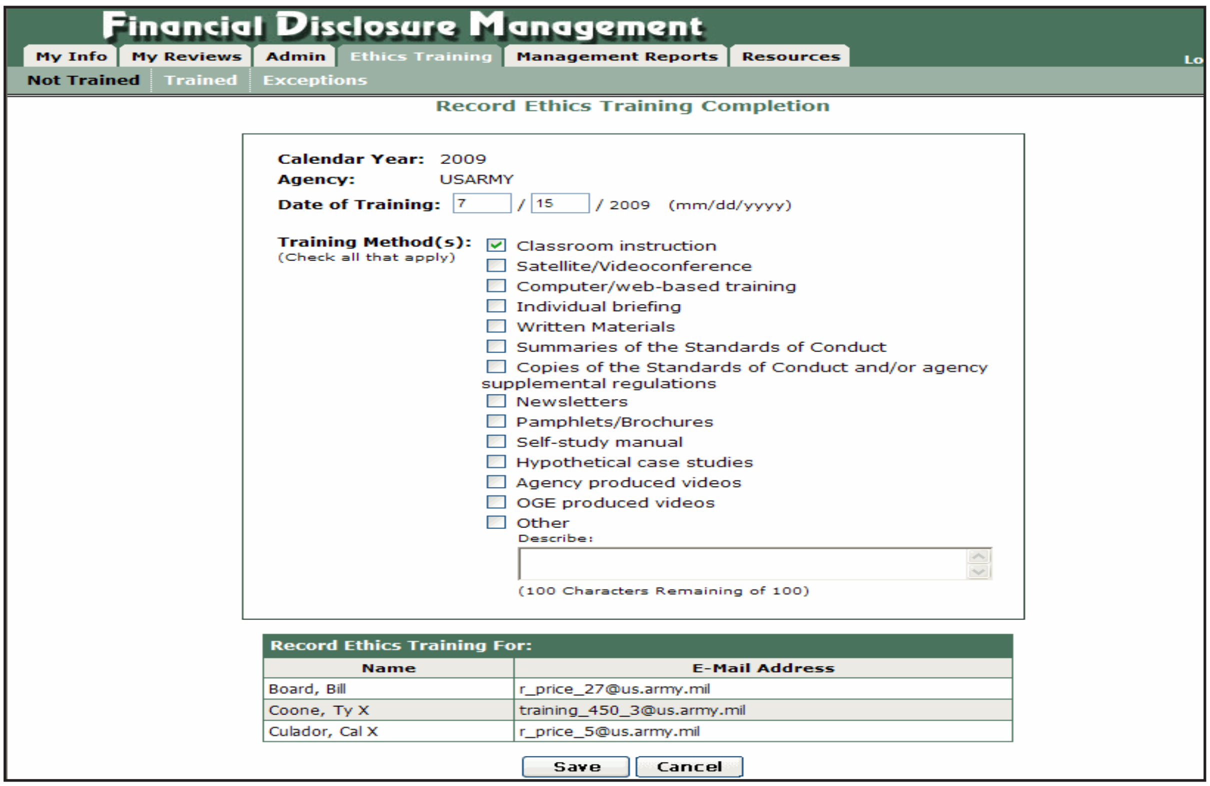
Once your Filers have taken their Ethics Training, you can record this in FDM.

1. Select the **Ethics Training / Not Trained** tabs.

2. Click on the checkbox next to each Filer who has received training

NOTE: In order to enter a group of Filers at one time, training would have to be Annual training occurring on the same day, and using the same training method type. Initial training has to be entered for one Filer at a time.

3. Click on the **Record Ethics Training** button. The Record Ethics Training Completion screen is displayed.



4. Enter the date of training.

5. Select the method of training (more than one checkbox can be selected.

6. When complete, click on **Save**. You return to the Not Trained screen and the Filers' names are removed from this screen and display on the Trained screen.

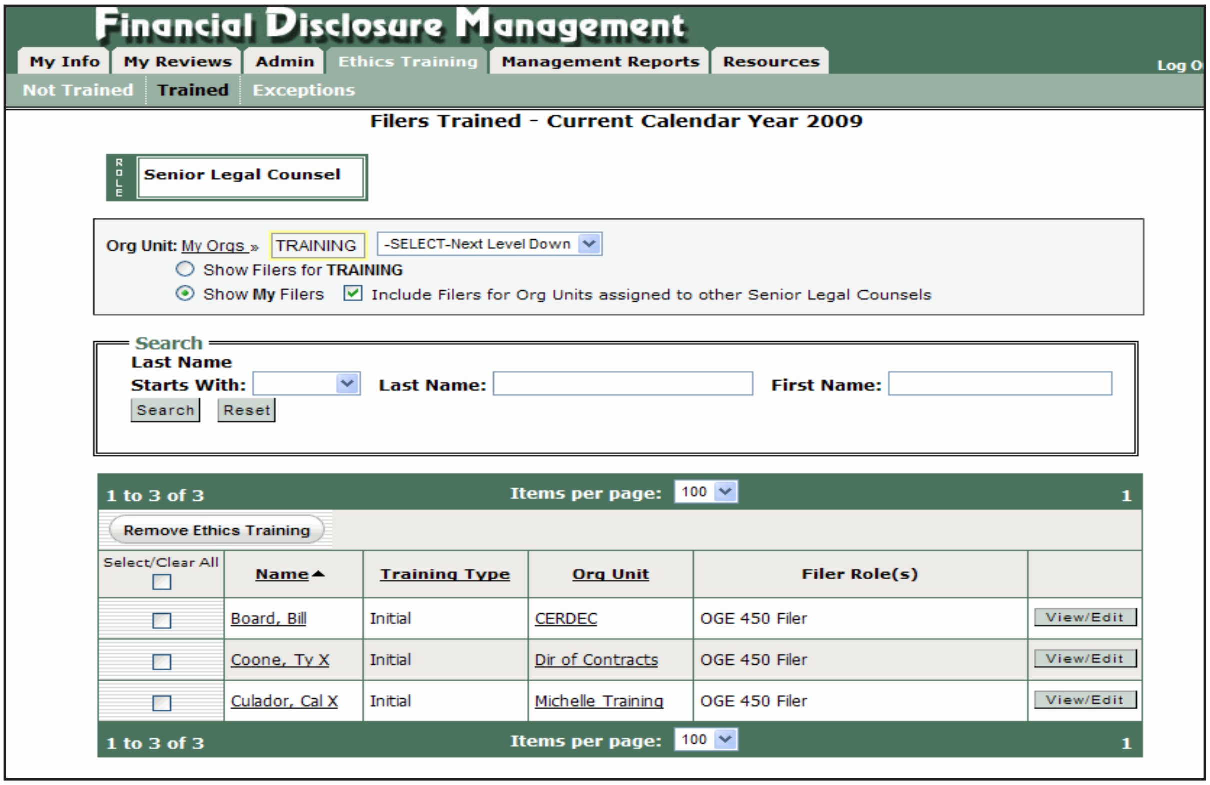
Trained

View or Change a Training Record

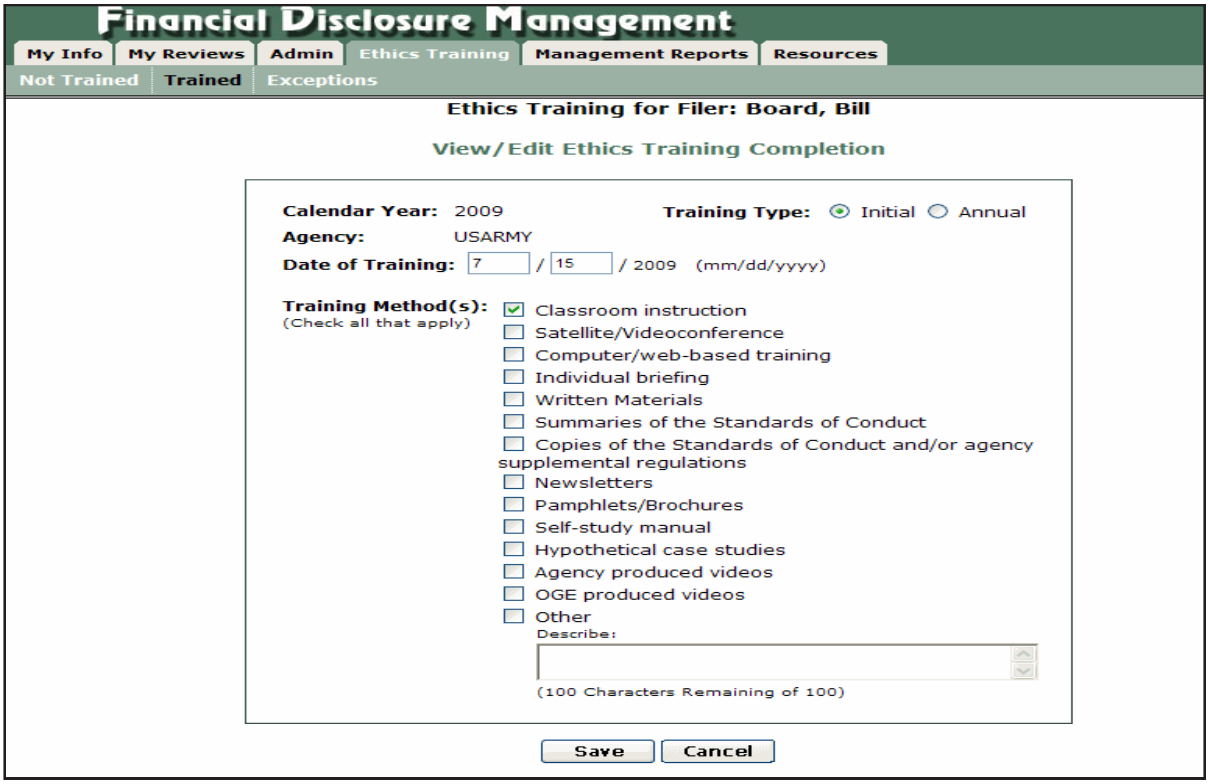
Once you have recorded training for your Filers, you can view, edit or remove a training record on a Filer.

To view or change a training record:

1. Select the **Ethics Training / Trained** tab. The Filers Trained page is displayed.



2. Locate the Filer on the list and click on the **View/Edit** button located next to the Filer's name. The Filers Trained page is displayed. You can change the date, the training type and method of training.

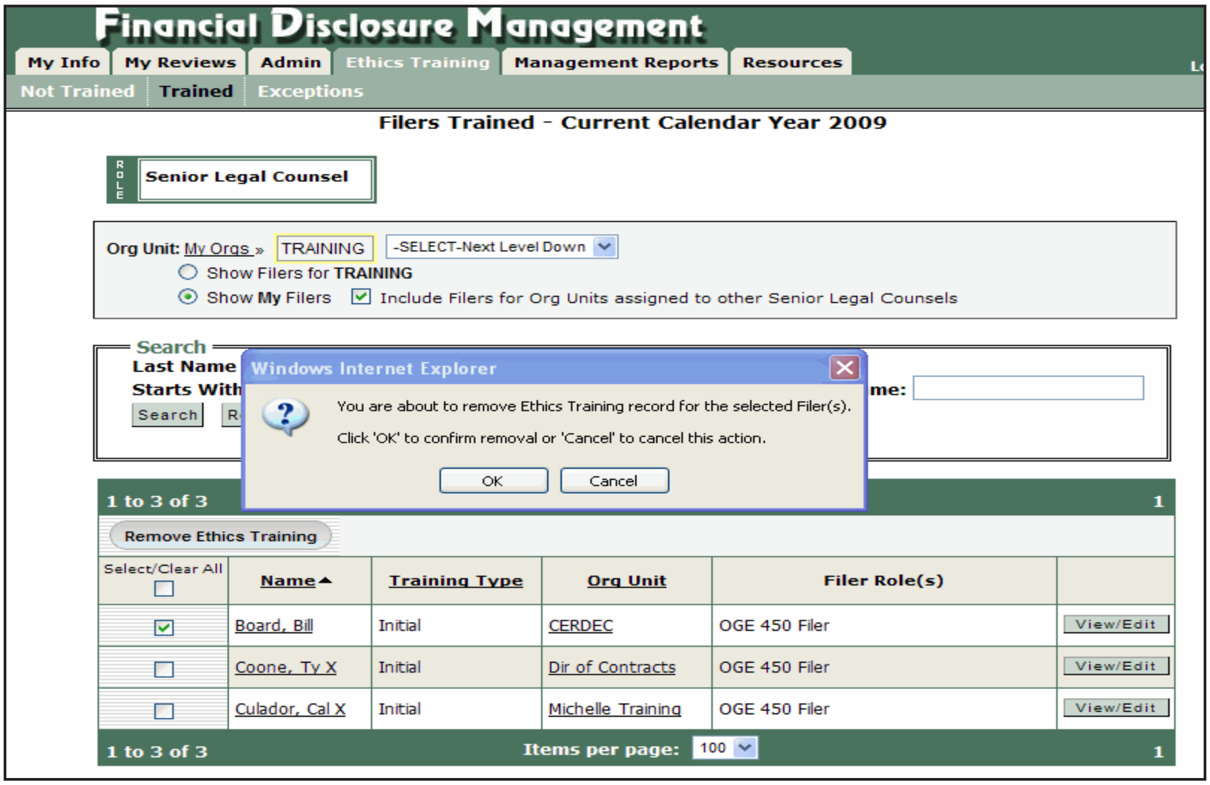


3. When complete, click on **Save**.

Removing a Training Record

To remove a training record:

1. Select the **Ethics Training / Trained** tabs.
2. Click on the checkbox next to the Filer whose training record you wish to remove (more than one can be selected at a time).
3. Click on the **Remove Ethics Training** button. A message displays confirming that you wish to remove this training record.



4. Click **OK.** The Filer's name is removed from the Trained List and returned to the Not Trained List.

Training Exceptions

An exception to annual or initial Ethics Training is extremely rare. However, there are instances where training in a particular year may be waived. As shown above, the exception is recorded from the Not Trained page, and all exceptions recorded are displayed on the Exceptions page.

Recording an Exception to Ethics Training

It is extremely rare for a Filer to be excused from ethics training since this training can be delivered in many different ways. However, there are some circumstances where a Filer's requirement to receive ethics training can be waived:

Exceptions for SF 278 Filers:

- Verbal training without a qualified instructor available or written training prepared by a qualified instructor will satisfy the verbal training requirement for a public filer (or group of public filers) if one hour of official duty time is provided for the training; and
- The designated agency ethics official (or his or her designee) makes a written determination that it would be impractical to provide verbal training with a qualified instructor available; or
- The employee is a special Government employee.

Exceptions for OGE 450 Filers:

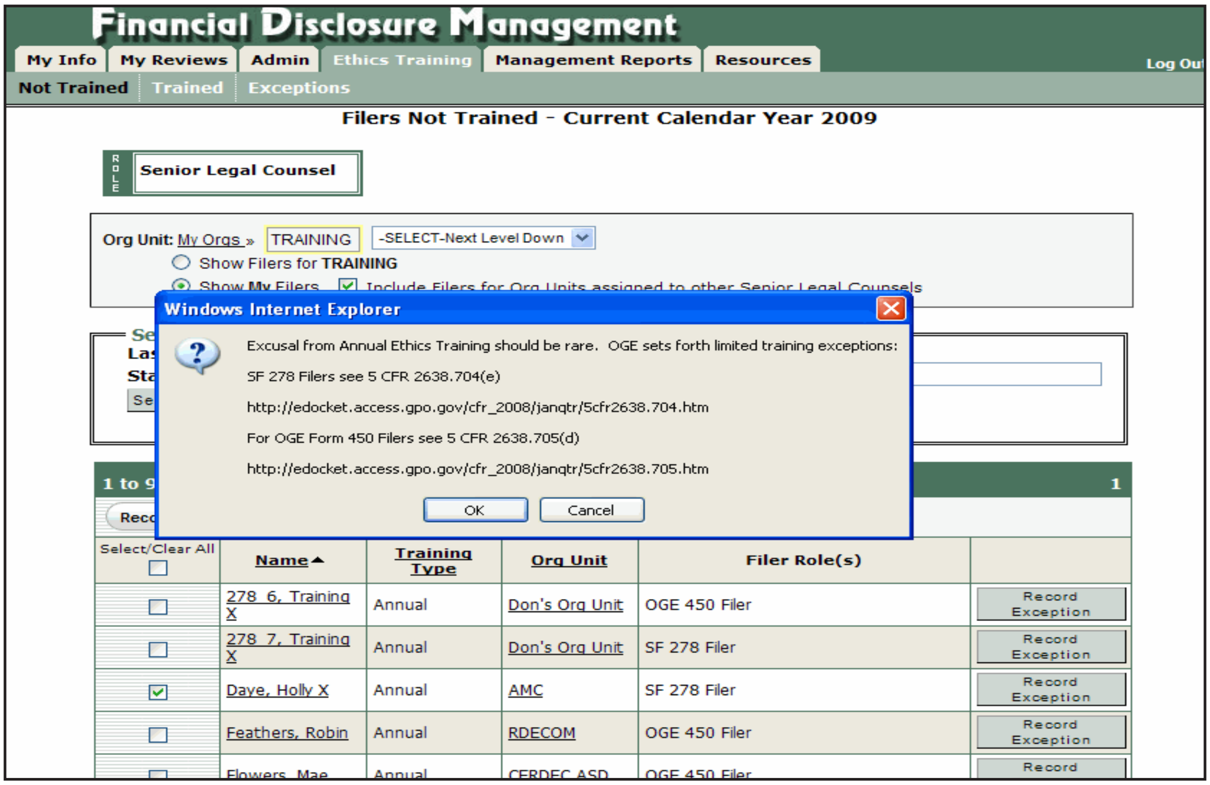
- Written ethics training prepared by a qualified instructor will satisfy the verbal training requirement for a covered employee (or group of covered employees) if sufficient official duty time is provided for the training; and
- The designated agency ethics official (or his or her designee) makes a written determination that verbal training would be impractical;
- The employee is a special Government employee expected to work 60 or fewer days in a calendar year; or
- The employee is an officer in the uniformed services serving on active duty for 30 or fewer consecutive days.

NOTE: For more information for SF 278 Filers, click on the following link: http://edocket.access.gpo.gov/cfr_2002/janqtr/5cfr2638.704.htm

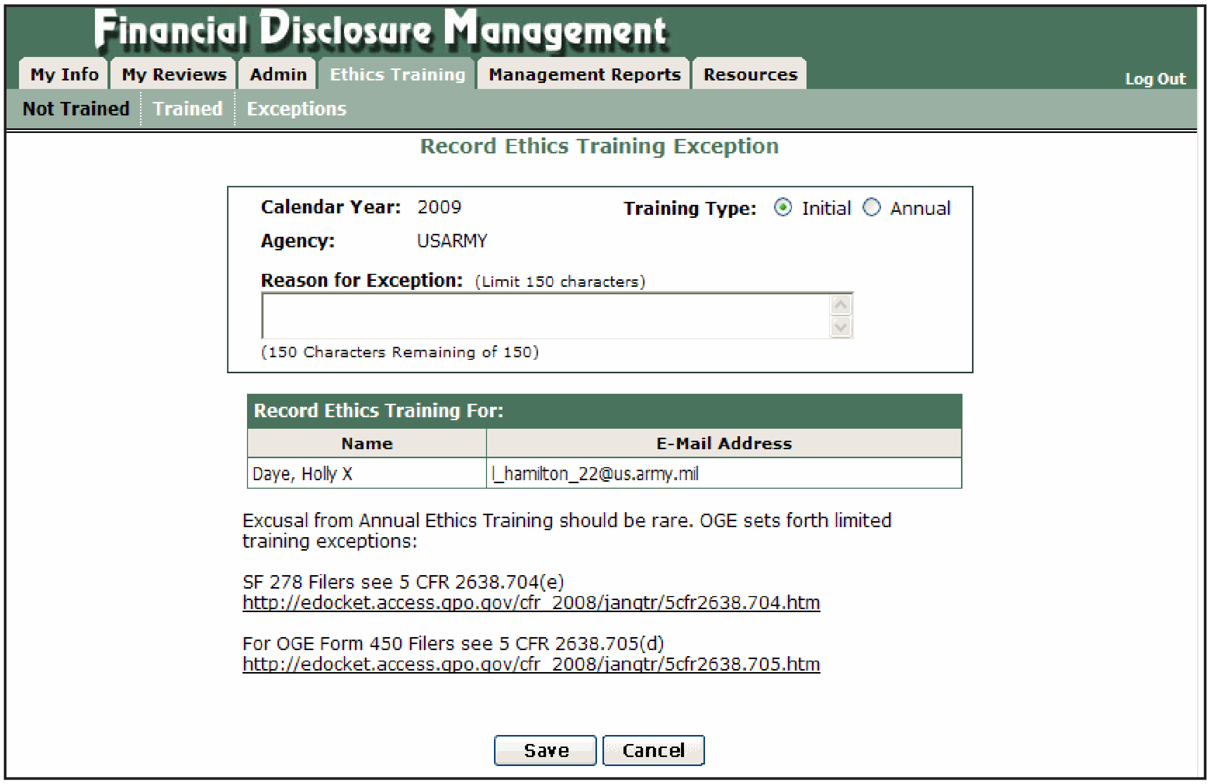
NOTE: For more information for OGE 450 Filers, click on the following link: http://edocket.access.gpo.gov/cfr_2002/janqtr/5cfr2638.705.htm

To record an exception:

1. Select the **Ethics Training / Not Trained** tabs.
2. Click on the checkbox next to the Filer's name to which an exception will be issued.
3. Click on the **Record Exception** button next to the Filer's line item. A message displays citing the links giving more detailed information regarding exceptions.



4. Click **OK**. The Record Ethics Training Exception screen is displayed.



5. Select the radio button next to the type of training the Filer was to receive.

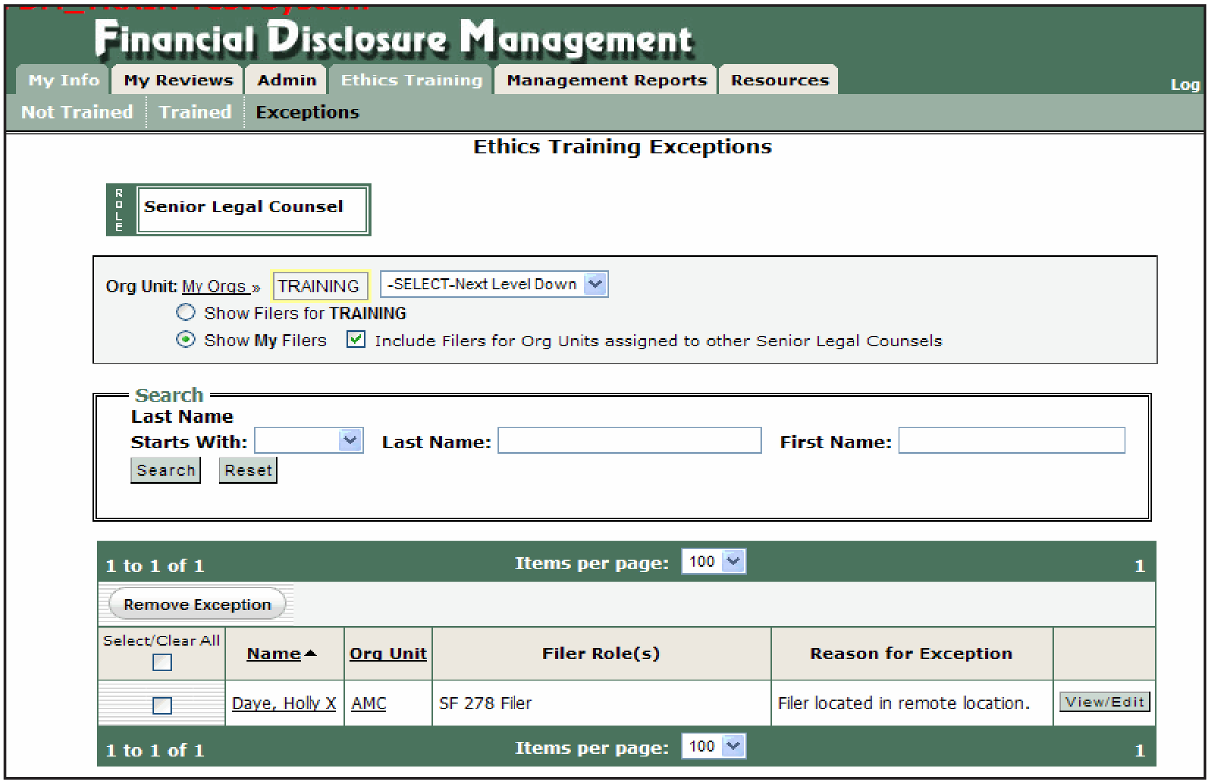
6. Enter a reason for the exception in the **Reason for Exception** text box.

7. Click on **Save**. You return to the Not Trained screen and the Filer who received the exception is removed from this list and now displays on the Exception List.

Removing an Exception to Training

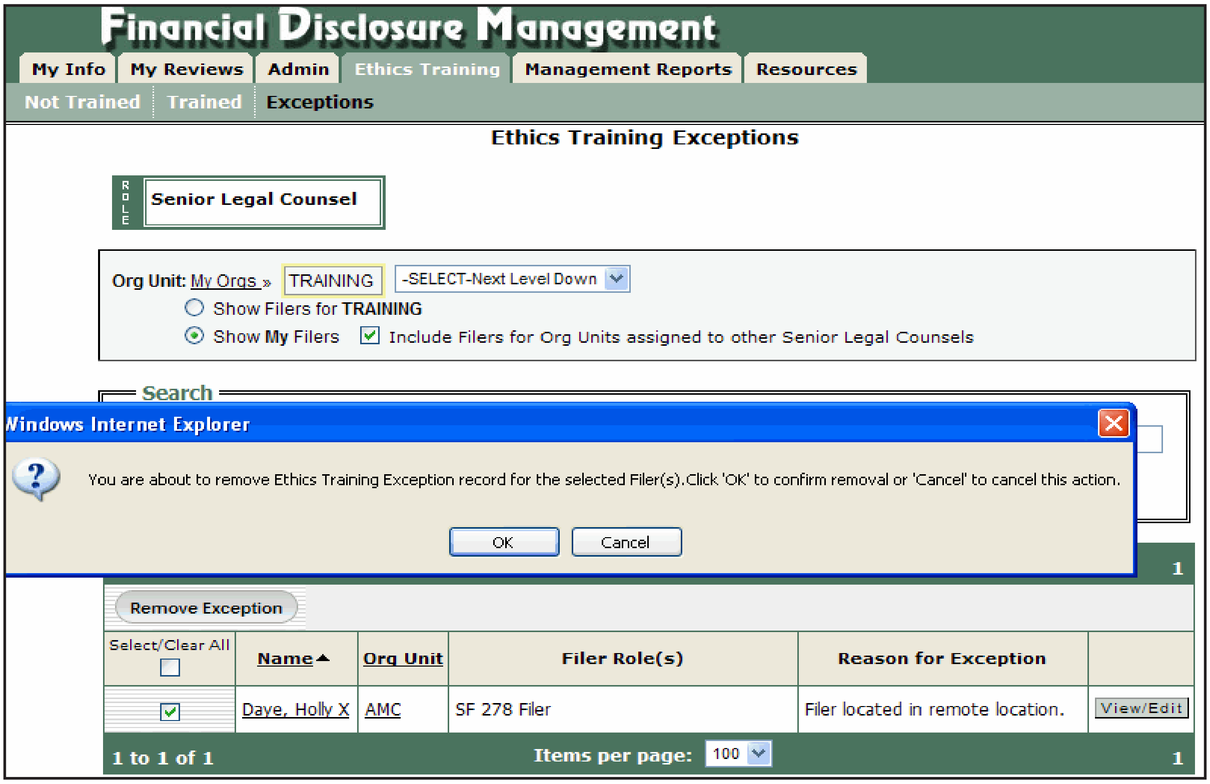
To remove an exception to training:

1. Select the **Ethics Training / Exceptions** tabs. The Exceptions page is displayed.



2. Click on the checkbox next to the Filer whose exception you wish to remove (more than one can be selected at a time).

3. Click on the **Remove Exception** button. A message displays confirming that you wish to remove the exception from this Filer.

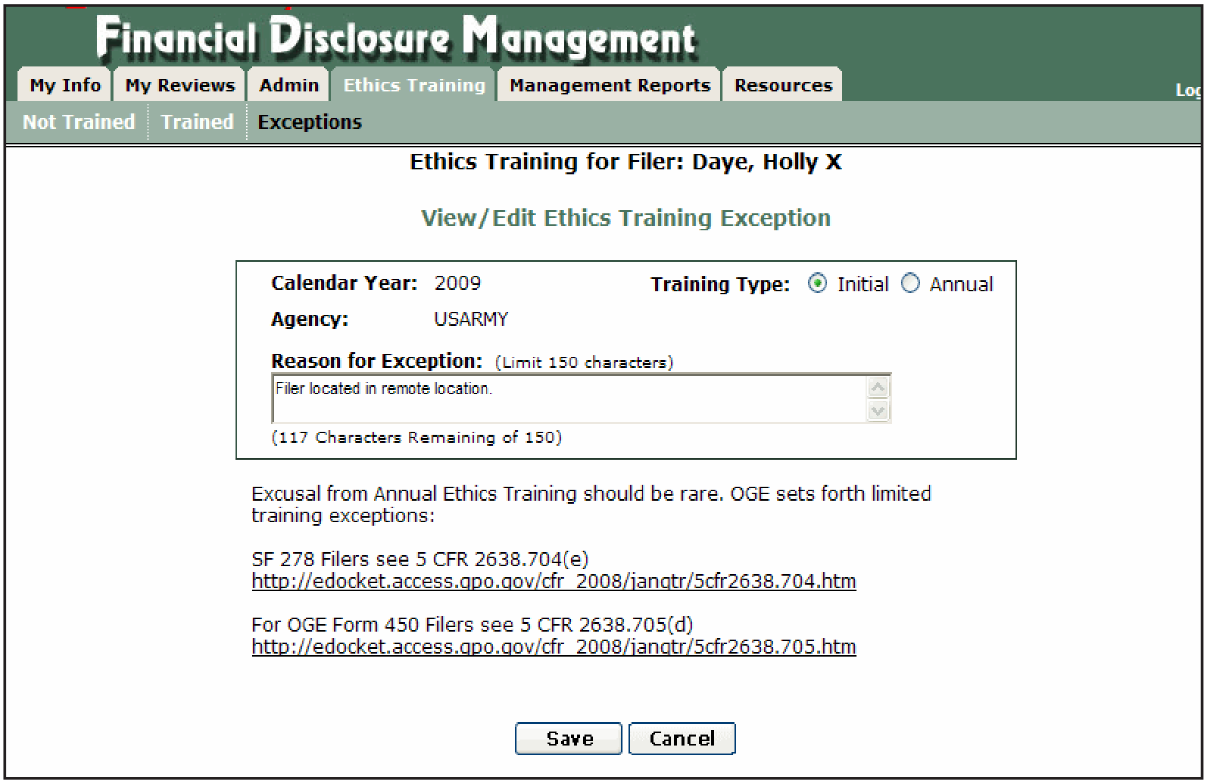


4. Click **OK**. The exception is removed and the Filer is moved back to the Not Trained page.

Changing or Viewing an Exception

1. Select the **Ethics Training / Exception** tabs.

2. Locate the Filer whose record you wish to view/change, and then click on the **View/Edit** button located next to the Filer's name.



3. You can change the Reason for Exception.

4. If changes were made, click on the **Save** button. You return to the Exceptions page and any changes made are saved.

Expired Reports (Purge)

In FDM, DAEOs, 450 Certifiers and their ECs can manage and permanently delete OGE 450 and OGE 278 reports that are expired. Per the record retention rules in the Code of Federal Regulations, reports expire six years after the Filer filed (eSigned by the Filer) the report.

Note: Go to 5 CFR2634.603 (g) Custody of and access to public reports and 5 CFR 2634.604(a) and (b) Custody of and denial of public access to confidential reports for the Code of Federal Regulations directives regarding deleting reports.

IMPORTANT INFORMATION: Once a report is Purged (deleted) from FDM, it cannot be recovered. Review the Expired Reports list first to determine if any report should be retained.

A report displays on the Expired Reports page if it is:

- An OGE 278 or OGE 450 report and does not include a Qualified Trust Agreement, and six (6) years have passed since the report was filed.
- An OGE 278 report that contains a Qualified Trust Agreements (QTA) and assets related to the trust agreement and six (6) years have passed since the Filer's final 278 submission with the agency.

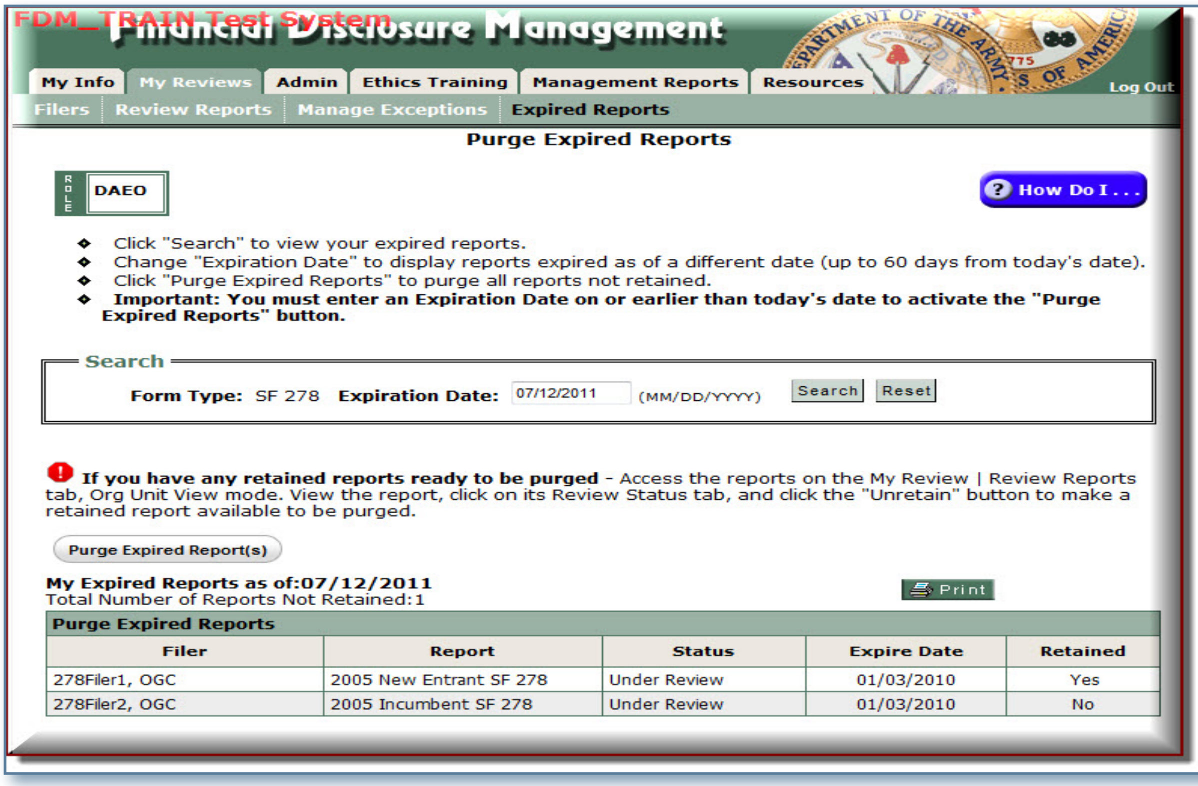
Purge Reports

To remove expired reports:

1. Click on the **My Reviews | Expired Reports** tab.
2. The Expiration Date defaults to the current date.

Note: You can change the Expiration date to a future date, up to 60 days after the current date to view a list of reports that will be expiring.

3. Click **Purge Expired Reports**. All reports that did not have a Yes in the Retained column are removed from FDM.



Note: Once a report is purged, it can no longer be accessed in FDM.

Retain Reports

A DAEO, 450 Certifier and their ECs can select to retain a report due to an investigation or a Qualified Trust Attachment on the Review Status page of a report. If a report has a Yes in the Retained column, it will not be included in the purge process.

To retain any reports you do not want to delete:

1. Review and then print the Expired Reports list.
2. Once you determine which report to retain, go to **My Reviews | Review Reports** and search for the specific report.
3. Click **View** beside the report and then go to the **Review Status** page.
4. Click **Retain** in the Report Progress box. The report will be retained in FDM.