

Financial Disclosure Management



USER GUIDE

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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.

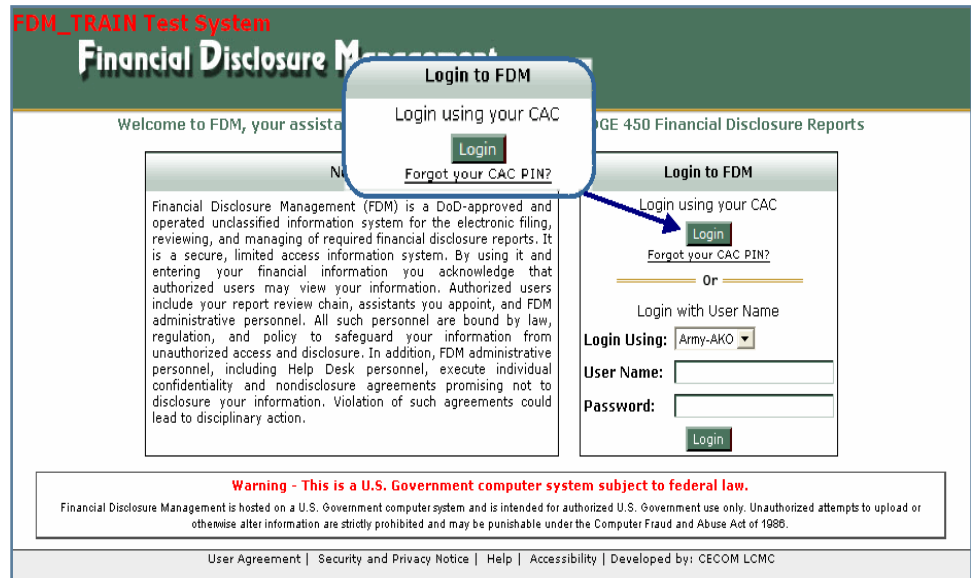
- a. Click “**Continue to this website (not recommended).**”
 - b. If you receive this message, please notify your local PC Support help desk or the FDM Service Center: [FDM Help & Support](#) to ensure the appropriate PKI certificates for FDM are loaded on your PC.
2. Click **Login** to FDM on the left 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

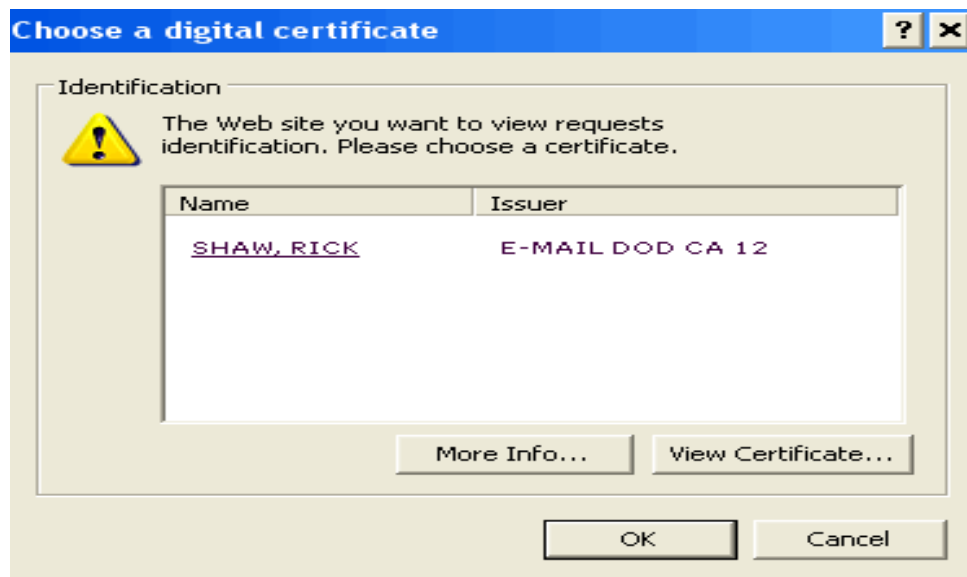
Figure 1. CAC Login



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?

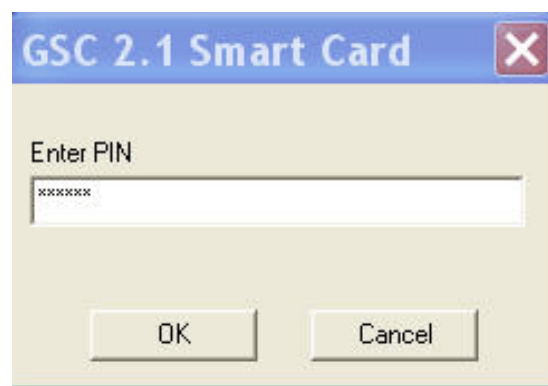
If the Access Denied page displays after you have tried logging in using your CAC, contact your Agency POC or your local legal advisor to check if you are registered in FDM. Have your e-mail address available so they can verify your access to FDM.

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

The screenshot shows the FDM TRAIN Test System login interface. At the top, it says 'FDM_TRAIN Test System' and 'Financial Disclosure Management'. Below that is a welcome message: 'Welcome to FDM, your assistant for preparing your SF 278 and OGE 450 Financial Disclosure Reports'. The main content area is divided into two sections. On the left, there is a 'Notice' box with a 'Login with User Name' section containing a 'Login Using' dropdown menu (set to 'Army-AKO'), 'User Name' and 'Password' input fields, and a 'Login' button. A blue box highlights this section. On the right, there is a 'Login to FDM' section with a 'Login using your CAC' section (with a 'Login' button and a 'Forgot your CAC PIN?' link) and a 'Login with User Name' section (with a 'Login Using' dropdown menu set to 'Army-AKO', 'User Name' and 'Password' input fields, and a 'Login' button). A blue arrow points from the 'Login Using' dropdown in the left section to the 'Login with User Name' link in the right section. At the bottom, there is a red warning message: 'Warning - This is a U.S. Government computer system subject to federal law.' Below the warning is a footer with links for 'User Agreement', 'Security and Privacy Notice', 'Help', 'Accessibility', and 'Developed by: CECOM LCMC'.

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.

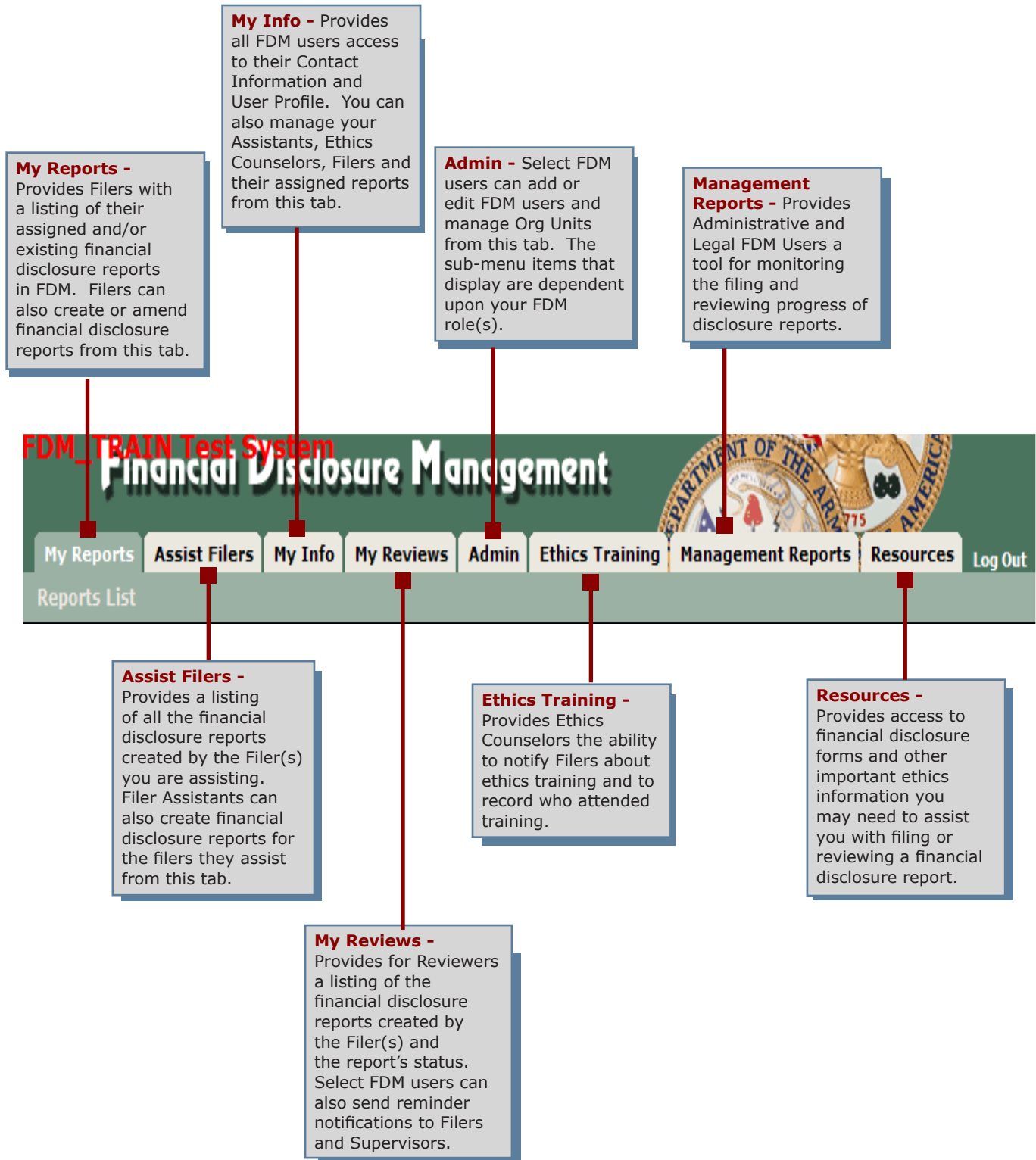
LOGGING OUT

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.

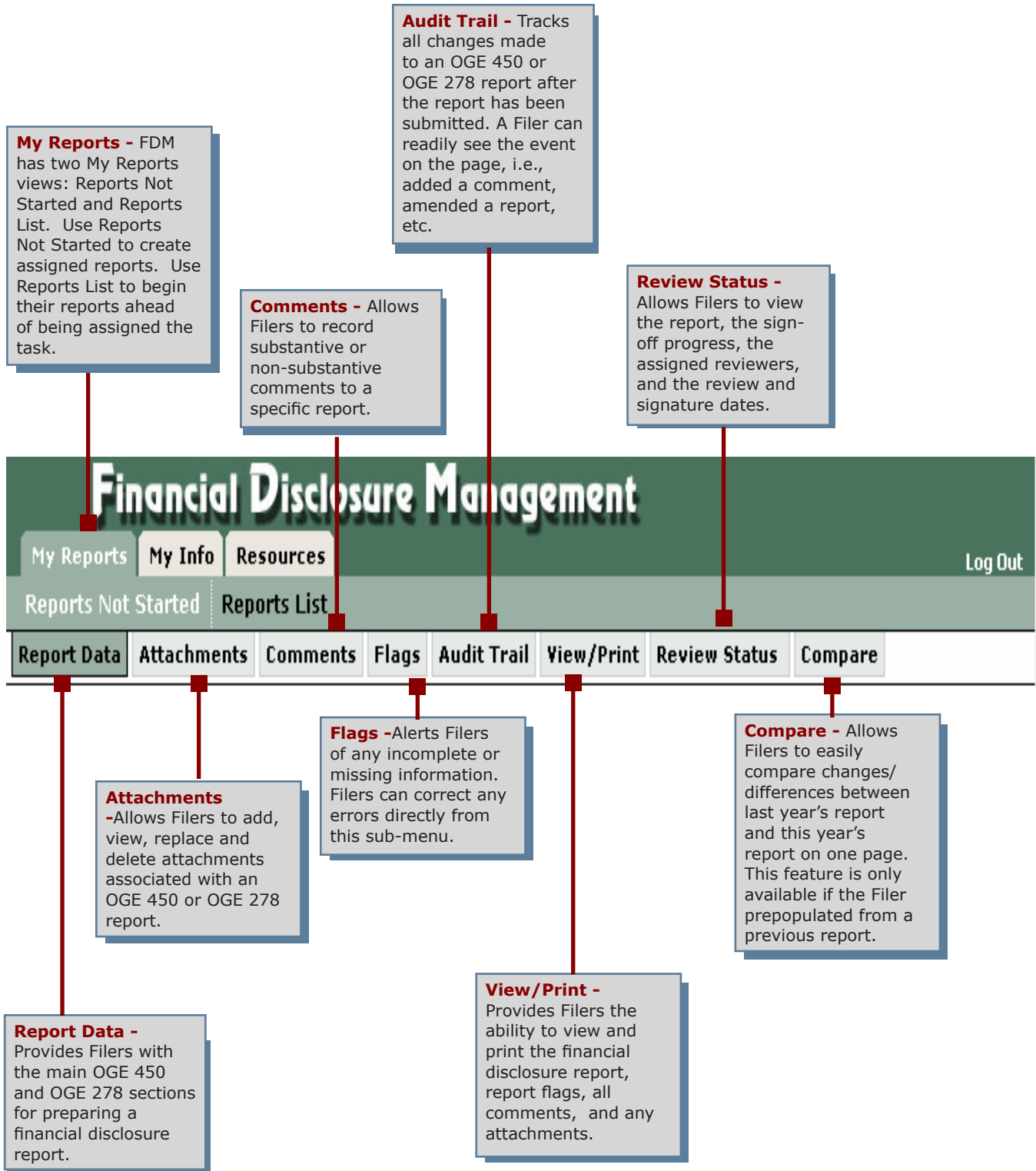
Exploring FDM

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.



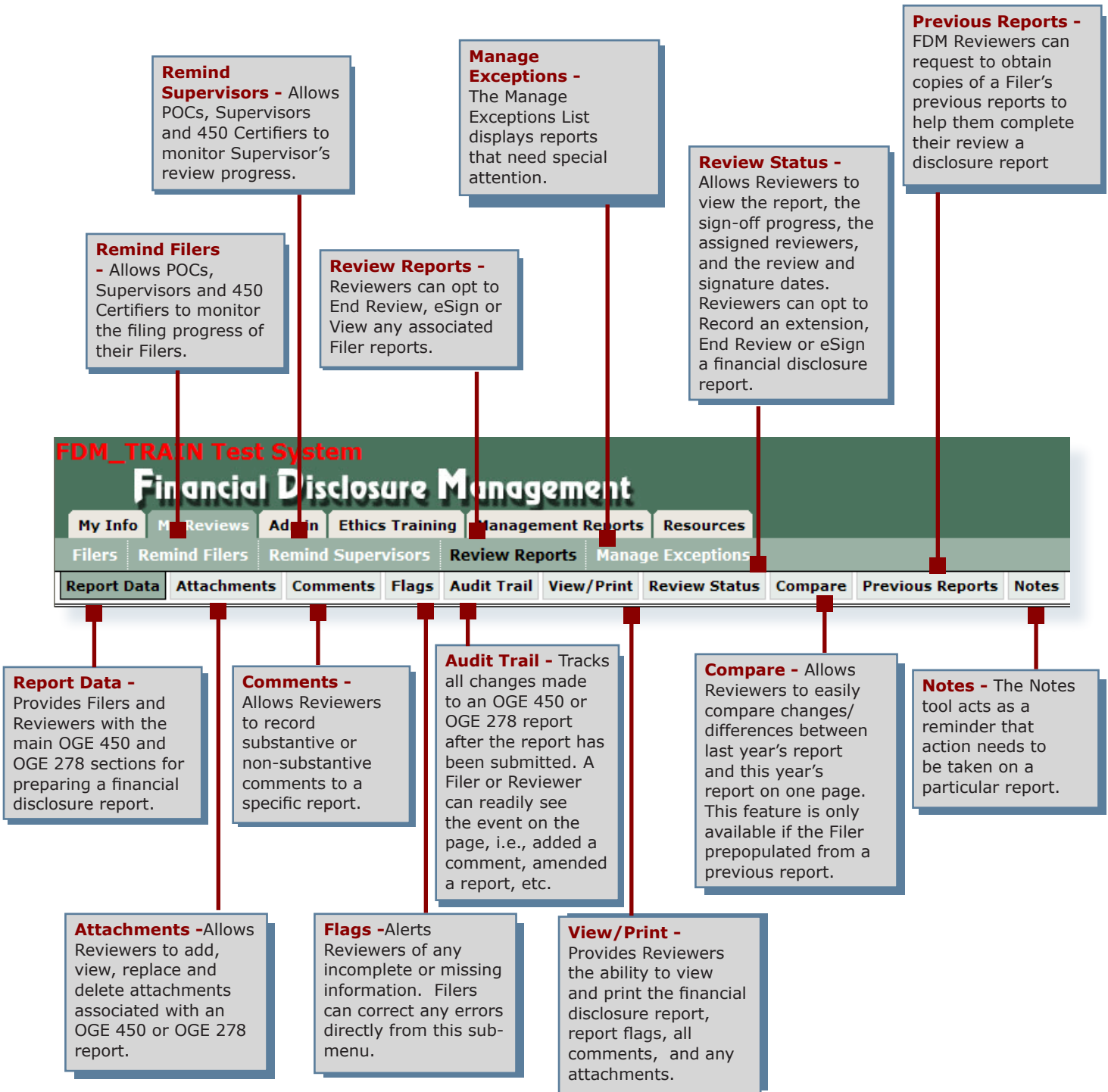
MY REPORTS

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



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.



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 Management

My Reports | My Info | Resources

Reports Not Started | Reports List

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

Under Review - Sandy X. Beache, 2008 Annual OGE 450 Report

Getting Started | Non-Investment Income | **Assets** | Liabilities | Outside Positions | Agreements | Gifts | Wrap Up

Assets and Investment Income

Getting Started | Non-Investment Income | **Assets** | Liabilities | Outside Positions | Agreements | Gifts | Wrap Up

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

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

Common Questions

- What are some common mistakes I should avoid?
- Do I have to report all assets that I own during the reporting period?
- What are some common mistakes I should avoid?
- I owned stock in a company this year. I sold it before the end of the year. The stock was worth \$2,000, and I earned \$500 in gains. Because I no longer own it, do I have to report it on the OGE Form 450?
- Do I have to report the value of the assets I report on the form or the amount of income that I or my spouse earns?
- Do I have to report IRAs?
- I have only diversified mutual funds in my portfolio. Do I have to report them?

Common Questions - Common Questions contain relevant financial disclosure reporting questions and answers.

◀ Back | Add Asset | Continue ▶

◀ Back | Continue ▶

Back and Continue
 - FDM automatically saves your financial disclosure information each time you click Back or Continue. HINT! Always use the FDM Back link rather than the Browser back button to ensure your information is saved.

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 15 th 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 15 th 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 15 th 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.

My SF 278 Reports

Year	Reporting Status	Review Status	Last Updated	Actions
2007	Incumbent	Under Review (Amendment in Progress)	04/19/2007	Edit View
2006	Incumbent	Draft	04/19/2007	Edit Delete
2006	New Entrant	Under Review	04/19/2007	Amend View
2005	Incumbent	Submitted to ADAEO 04/19/2007	04/19/2007	View

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.	<ul style="list-style-type: none"> ♦ 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	<ul style="list-style-type: none"> ♦ 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.	<ul style="list-style-type: none"> ♦ 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.	<ul style="list-style-type: none"> ♦ 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	<p>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.</p> <p>A 450 certifier can eSign and complete a 450 financial disclosure report in FDM.</p>	<ul style="list-style-type: none"> ◆ 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	<p>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.</p> <p>They can perform the same functions as a 450 Certifier with the exception of eSigning a report.</p>	<ul style="list-style-type: none"> ◆ 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	<p>450 Certifier Ethics Counselor's are a pool of ethics counselors selected by a 450 Certifier to aid in the review of a report.</p> <p>They can perform the same functions as a 450 Certifier.</p>	<ul style="list-style-type: none"> ◆ 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.	<ul style="list-style-type: none"> ◆ 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	<p>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.</p> <p>They can perform the same functions as a Senior Legal Counsel with the exception of eSigning a report.</p>	<ul style="list-style-type: none"> ◆ 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	<p>Senior Legal Counsel Ethics Counselor's are a pool of ethics counselors selected by an SLC to aid in the review of a report.</p> <p>They can perform the same functions as a Senior Legal Counsel.</p>	<ul style="list-style-type: none"> ◆ 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.	<ul style="list-style-type: none"> ◆ 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.	<ul style="list-style-type: none">♦ 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
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Search Tips

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | POCs | Supervisors | Users | Org Units

Search & Select New Filer

Instructions: Use the criteria below to search for an individual to add as a new FDM Filer.

Last Name:* Starts With [v] []

First Name: Starts With [v] []

Middle Name: Starts With [v] []

e-mail: Starts With [v] []

Agency Directories : Army [v]

Items Per Page 20 [v] **Search**

**Required*

Cancel

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.

The screenshot shows a search interface with the following elements:

- Search Filters:**
 - e-mail:** Starts With (dropdown menu)
 - Agency:** Army (dropdown menu)
 - *Required:** Items Per Page (dropdown menu set to 20) and a Search button.
- Results Summary:** 41 to 60 of 103. Items per page: 20 (dropdown menu).
- Navigation:** A set of navigation buttons including a double left arrow, a single left arrow, page numbers 1 through 5, a single right arrow, and a double right arrow.
- Search Results Table:**

Last Name	First Name	Middle Name	Grade	E-Mail Address	Phone	Organization	
450_19	Training	X	GS13	training_450_19@us.army.mil	000-000-0000	Civilian	Select
450_2	Training	X	GS13	training_450_2@us.army.mil	000-000-0000	Civilian	Select

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**.

The screenshot displays the 'Change My Role or Relationship View' page in the FDM TRAIN Test System. The page features a green header with the text 'FDM_TRAIN Test System' and 'Financial Disclosure Management'. Below the header is a navigation bar with tabs for 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources', along with a 'Log Out' link. A secondary navigation bar includes 'Files', 'POCs', 'Supervisors', 'Users', and 'Org Units'. The main content area is titled 'Change My Role or Relationship View' and contains a section labeled 'My Roles' with a list of roles: DAED, SLC, 450 Certifier, Supervisor, DAED EC, SLC Assistant, 450 Certifier EC, 450 Certifier Assistant, Agency Admin, and System Admin. At the bottom of the list are 'Select' and 'Cancel' buttons.

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**.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | **Ethics Training** | Management Reports | Resources | Log Out

Files | POCs | Supervisors | Users | Org Units

Change My Role or Relationship View

My Roles	People I Assist
DAEO	Harmonic, Phil
SLC	Verd, Mac
450 Certifier	
Supervisor	
DAEO EC	
SLC Assistant	
450 Certifier EC	
450 Certifier Assistant	
Agency Admin	
System Admin	

Select Cancel

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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.

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.

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

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.

The screenshot shows the 'Org Units' page in FDM. At the top, there are navigation tabs: My Reports, My Info, My Reviews, Admin, Ethics Training, Management Reports, Resources, and Log Out. Below these are sub-tabs: Filers, POCs, Supervisors, Users, and Org Units. The main content area is titled 'Org Units' and includes a 'POC' dropdown menu, a 'How Do I...' help button, and a breadcrumb trail 'Org Unit: My Orgs > Central North'. There is a search box for 'Org Unit Search' with a 'Name:' field, 'Search', and 'Clear' buttons. A warning icon indicates that a different POC is assigned to this org unit. Below this is a table of 'Org Units for Central North' with columns for Name, Description, Location, Supervisor Name, and actions (Edit, Move, Delete). The first row, 'Central North 1', has a yellow warning triangle icon and a down arrow, indicating a different POC is assigned.

Name	Description	Location	Supervisor Name	
⚠ Central North 1	Central North 1	... » Central North	Dave, Holly X	Edit Move Delete
Central North 2	Central North 2	... » Central North	Dev, Bill X	Edit Move Delete
Central North 3	Central North 3	... » Central North	Fryday, Gladys X	Edit Move Delete
Central North 4	Central North 4	» Central North	Kinigt, Wednesday X	Edit Move

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

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.

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

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.

Financial Disclosure Management

My Reports | My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Files | POCs | Supervisors | Users | **Org Units**

Add Org Unit

[? How Do I ...](#)

Name:

Description:

Org Unit Location: My Orgs » Central North

Org Unit Role Assignments	
Roles	Name
POC(s):	Not Assigned (Day, Manny X acting)
Supervisor:	Not Assigned (Tuesday, Ruby X acting)
450 Certifier:	Not Assigned (Day, Sonny X acting)
Senior Legal Counsel:	Not Assigned (Lee, Brock X acting)
DAEO:	Not Assigned (Lee, Brock X acting)

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

Field	Description
Org Unit Name	<p>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.</p> <p>Keep the Org Unit name short and specific, e.g. Use an abbreviation of the organization name to which the Filers and reviewers belong.</p> <p>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.</p>
Org Unit Description	<p>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</p>

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.

- 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.

Financial Disclosure Management

Log Out

[My Reports](#) | [My Info](#) | [My Reviews](#) | [Admin](#) | [Ethics Training](#) | [Management Reports](#) | [Resources](#)

[Files](#) | [POCs](#) | [Supervisors](#) | [Users](#) | [Org Units](#)

Edit Org Unit - CN Asst Direct

? How Do I . . .

Name:

Description:

Org Unit Location: My Orgs » Central North

Save Name/Description
Reset

Instructions: Click the "Change" button next to the role assignment you wish to change. Please note that you cannot assign a role to someone who is already in the "acting" position for that role.

Org Unit Role Assignments		
Roles	Current Assignments	
POC(s):	Not Assigned (Day, Manny X acting)	Change
Supervisor:	Not Assigned (Tuesday, Ruby X acting)	Change
450 Certifier:	Not Assigned (Day, Sonny X acting)	
Senior Legal Counsel:	Not Assigned (Lee, Brock X acting)	
DAEO:	Not Assigned (Lee, Brock X acting)	

Return to Admin Org Units List

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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.

Agency defaults to Army.

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.

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.

Financial Disclosure Management

My Reports
My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources
Lo

Files
POCs
Supervisors
Users
Org Units

Edit Org Unit - CN Asst Direct

? How Do I ...

Name:

Description:

Org Unit Location: My Orgs » Central North » CN Asst Direct

Instructions: Click the "Change" button next to the role assignment you wish to change. Please note that you cannot assign a role to someone who is already in the "acting" position for that role.

Org Unit Role Assignments		
Roles	Current Assignments	
POC(s):	Not Assigned (Day, Manny X acting)	<input type="button" value="Change"/>
Supervisor:	Romeo, Alfa X	<input type="button" value="Change"/>
450 Certifier:	Not Assigned (Day, Sonny X acting)	
Senior Legal Counsel:	Not Assigned (Lee, Brock X acting)	
DAEO:	Not Assigned (Lee, Brock X acting)	

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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.

The screenshot shows the 'Financial Disclosure Management' interface. The top navigation bar includes 'My Reports', 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this, a secondary navigation bar has 'Filers', 'POCs', 'Supervisors', 'Users', and 'Org Units'. The main content area is titled 'Change Supervisor - Alfa X Romeo'. It contains the question 'What would you like to do?' followed by two radio button options: 'Replace the current Supervisor' and 'Remove the current Supervisor without assigning a replacement'. At the bottom of the dialog are 'Cancel' and 'Continue' buttons. The footer of the page contains the text 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

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.

Financial Disclosure Management

My Reports | My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | POCs | Supervisors | Users | **Org Units**

Move Org Unit - Central North 2

[? How Do I ...](#)

Org Unit:

Name:

1 to 2 of 2 Items per page: 100 1

Org Units for My Orgs				
Name	Description	Location	Supervisor Name	
Central North	↓ Central North	... » Confidential Filers	Tuesday, Ruby X	<input type="button" value="Select"/>
West Coast	↓ West Coast	... » Confidential Filers	Victoria, Crown X	<input type="button" value="Select"/>

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.

The screenshot shows the 'Financial Disclosure Management' interface. The breadcrumb trail is 'My Orgs » CECOM » CECOM - SEC'. A search bar is present. Below the search bar, a table lists Org Units. A warning dialog box is overlaid on the table, asking: 'Are you sure you want to delete Org Unit SEC - ITED? Click OK for yes, Cancel for no.' The table has the following data:

Name	Parent	Subordinate	Assigned To	Actions
SEC - Director	SEC - Office of the Director	... » CECOM - SEC	Not Assigned (Gogel, Sydney, acting)	Edit, Move, Delete
SEC - ITED	SEC - ITED	... » CECOM - SEC	Not Assigned (Gogel, Sydney, acting)	Edit, Move, Delete

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



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 you 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

- ☞ 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.

- ☞ Agency defaults to Army.

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.

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.

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.

The screenshot shows the 'Financial Disclosure Management' interface. The top navigation bar includes 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', 'Resources', and 'Log Out'. Below this is a secondary navigation bar with 'Filers', 'POCs', 'Supervisors', 'Users', and 'Org Units'. The main content area is titled 'Confirm Add OGE 450 Filer' and contains the following text:

Are you sure you want to add **NorthEast X. 450Filer1** as a **OGE 450 Filer** in **North East Region**?

At the bottom of the dialog are two buttons: 'Confirm' and 'Cancel'.

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

The screenshot shows the 'Financial Disclosure Management' interface. The top navigation bar includes 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', 'Resources', and 'Log Out'. Below this is a secondary navigation bar with 'Filers', 'POCs', 'Supervisors', 'Users', and 'Org Units'. The main content area is titled 'Assign OGE 450 Report' and contains the following form:

Reports

Year: 2010 (dropdown)

Reporting Status: New Entrant (dropdown)

Due Date: 4 / 23 / 2010 (mm/dd/yyyy)

Override Due Date

Reason: (Limit 256 characters)

Admin Due Date: / / (mm/dd/yyyy)

Assign Report to:

Name	E-Mail Address
450Filer1, NorthEast X	NEast.450filer1@us.army.mil

At the bottom of the form are two buttons: 'Save' and 'Cancel'.

At the very bottom of the page is the footer: Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

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.

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | POCs | Supervisors | Users | Org Units

Report Assignment Notification

Would you like to notify your filer(s) of the Report Assignment?

Yes - Notify Now
 No - Do not notify at this time

Subject: Your 2010 OGE 450 New Entrant report is due 04/23/2010
 (Automated Notification)

You are registered in Financial Disclosure Management (FDM) - URL: <https://158.9.48.244>, as an OGE 450, Confidential Financial Disclosure Report Filer. Your OGE 450 New Entrant report is due 04/23/2010. Please consult your legal advisor or me, POC Starr X Burst, SBurst.POCSE@us.army.mil, 000-000-0000 if you have questions about this requirement to file a Financial Disclosure Report, or need an extension. Also, consult your legal advisor or me if you do not think you should file such a report.

a. Go to FDM - URL: <https://158.9.48.244>, click on "Login to FDM" and click "OK" on the DoD banner Popup. On the right side, choose to login with your CAC/PIN (DoD users) or Login with User Name/Password (as appropriate) (non-DoD users (Army may also use AKO user name/password)).
 (If this is the first time you are entering FDM, you will see a Contact Information screen to review, update, and complete. Click Save when finished.)

b. You should land on the My Reports / Reports Not Started page if a report has been assigned (otherwise as a Filer you will be on the My Reports | Report List

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.

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | POCs | Supervisors | Users | Org Units

View Filer - 450Filer1, NorthEast X

Attribute	Value
Last Name	450Filer1
First Name	NorthEast
Middle Name	X
e-Mail	NEast.450filer1@us.army.mil
Organization	North East Region
Phone	000-000-0000
Agency	Demo Agency
Filer Roles	OGE 450

Filer's Reports

Started	Assigned	Year	Form Type	Reporting Status	Review Status	Assigning Org Unit	
No	Yes	2010	OGE 450	New Entrant	Not Started	North East Region	<input type="button" value="View"/> <input type="button" value="Remove Assignment"/>

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

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

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Status | Notes

Report Due Date Info Not Started - NorthEast X. 450Filer1, 2010 New Entrant OGE 450 Report

450 Certifier

Year: 2010
Current Due Date: 08/23/2010
Total Extension Days: 0
Due Date: 08 / 23 / 2010 (mm/dd/yyyy)
 Override Due Date **Reason:** (Limit 256 characters)
 (256 Characters Remaining of 256)
Admin Due Date: / / (mm/dd/yyyy)

Record Extension

Create Date	Type	Length of Extension Days	Reason
There are no extensions for this activity.			

- 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.

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | POCs | Supervisors | Users | Org Units

View Filer - 450Filer1, NorthEast X

Attribute	Value
Last Name	450Filer1
First Name	NorthEast
Middle Name	X
e-Mail	NEast.450filer1@us.army.mil
Organization	North East Region
Phone	000-000-0000
Agency	Demo Agency
Filer Roles	OGE 450

Filer's Reports

Started	Assigned	Year	Form Type	Reporting Status	Review Status	Assigning Org Unit	
No	Yes	2010	OGE 450	New Entrant	Not Started	North East Region	<input type="button" value="View"/> <input type="button" value="Remove Assignment"/>

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.

Financial Disclosure Management

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

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

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

Notify Filers

To: asd2.sec@us.army.mil;

CC: b_ross_4@us.army.mil (Optional)

Subject:

Message: Type the contents of you message here...

W/R,
B X. Ross_4

Notify **Cancel**

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

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.

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | POCs | Supervisors | Users | Org Units

My Filers

POC [?] How Do I...

Org Unit: My Orgs [-SELECT-Next Level Down]

Show Filers for My Orgs
 Show My Filers Include Filers for Org Units assigned to other POCs

Filer Role: OGE 450 [Retrieve Filers] [Reset]

Last Name: [] First Name: []

0 to 0 of 0					Items per page: 100	1
Name	Filer Role	Org Unit	Current Reports	Supervisor		
Make selections and click "Retrieve Filers" to view a list of your Filers						
0 to 0 of 0					Items per page: 100	1

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

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.

DM_FINAL TEST SYSTEM

Financial Disclosure Management

My Reports | **My Info** | **My Reviews** | **Admin** | **Management Reports** | **Resources** | **Log Out**

Filers | **Remind Filers** | **Remind Supervisors** | **Review Reports** | **Manage Exceptions**

Add Multiple OGE 450 Filers - Search

Instructions: Type or copy and paste the E-mail addresses into the text box below.

Filer(s) will be added to the following Org Unit:

Org Unit: OGC CFD filers
Supervisor: Pickney, E X

Agency Directories

E-mail Address Box

Instructions: Enter each E-mail address on a separate line.
Press <Enter> after each address.
A maximum of 25 E-mails is allowed in the address box.

May.Furst@us.army.mil
Misty.Shore@us.army.mil

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

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.

May.Furst@us.army.mil Test System
Misty.Shore@us.army.mil

Financial Disclosure Management

My Reports My Info Review Filers Admin Resources Management Reports Log Out

Contact Information My ECs My Assistants My Filers My Profile Required Activity

Add Multiple OGE 450 Filers - Review and Confirm

Filer Role: OGE 450 **Org Unit:** CECOM - RDEC
Supervisor: Sprain, Janey **450 Certifier:** Verd, Mac

✓ Filer(s) that will be added to current Org Unit listed above: **No. of Filer(s) to be added: 2**

Name	Grade	E-mail Address	Phone
Furst, May		May.Furst@us.army.mil	732-555-1212
Shore, Misty		Misty.Shore@us.army.mil	732-555-1212

✗ Filer(s) that will not be added to the current Org Unit listed above: **No. of Filer(s) will not be added: 0**

Name	Grade	E-mail Address	Phone
------	-------	----------------	-------

◀ Back Cancel Confirm

- 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.

FDM_QA_TEST Test System

Financial Disclosure Management

My Reports My Info Review Filers Admin Resources Management Reports Log Out

Contact Information My ECs My Assistants My Filers My Profile Required Activity

Add Multiple OGE 450 Filers - Add Complete

Filer Role: OGE 450 **Org Unit:** CECOM - RDEC
Supervisor: Sprain, Janey **450 Certifier:** Verd, Mac

✓ Filer(s) successfully added to current Org Unit listed above: **No. of Filer(s) added: 2**

Name	Grade	E-mail Address	Phone	Status
Furst, May		May.Furst@us.army.mil	732-555-1212	
Shore, Misty		Misty.Shore@us.army.mil	732-555-1212	

⚠ Filer(s) add process failed. Please try again to add the following filer(s): **No. of Filer(s) failed: 0**

Name	Grade	E-mail Address	Phone	Status
------	-------	----------------	-------	--------

✗ Filer(s) that were not added to the current Org Unit listed above: **No. of Filer(s) not added: 0**

Name	Grade	E-mail Address	Phone	Status
------	-------	----------------	-------	--------

Add Multiple OGE 450 Filers My Filers

- 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.

The screenshot shows the FDM system interface. At the top, it says "FDM_TRAIN Test System" and "Financial Disclosure Management". Below this is a navigation menu with tabs: "My Reports", "My Info", "My Reviews", "Admin", "Management Reports", and "Resources". A "Log Out" link is in the top right. Below the navigation menu is a secondary menu with tabs: "Filers", "Remind Filers", "Remind Supervisors", "Review Reports", and "Manage Exceptions". Below that is a third menu with tabs: "Report Data", "Attachments", "Comments", "Flags", "Audit Trail", "View/Print", "Review Status", and "Previous Reports". The main content area displays a confirmation dialog titled "Confirm Remove SF 278 Filer Filer(s)". The dialog asks, "Are you sure you want to remove the filer role for the following filers?" and lists "Asd2 Sec***". Below this is a checkbox labeled "*** Also remove Not Started SF 278 Filer Report assignments for these Filers". At the bottom of the dialog are two buttons: "Confirm" and "Cancel". At the very bottom of the page, there is a footer with the text: "Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC".

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.

FDM_TRAIN Test System
Financial Disclosure Management
 My Info | My Reviews | **Admin** | Management Reports | Resources | Log Out
 Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Move Filer - Bago, Winnie X

[? How Do I ...](#)

Org Unit: My Orgs »

Name:

1 to 7 of 7 Items per page: 100 1

Org Units for RC 3				
Name	Description	Location	Supervisor Name	
Baltimore RO	RC 3 - Baltimore Regional Office (RO) CFD filers	... » RC 3	Lyons, Dan D	<input type="button" value="Select"/>
Baltimore VAMC	RC 3 - Baltimore VAMC CFD Filers	... » RC 3	Not Assigned (Pickney, E., acting)	<input type="button" value="Select"/>
Martinsburg WV VAMC	RC 3 - Martinsburg WV VAMC CFD filers	... » RC 3	Lyons, Dan D	<input type="button" value="Select"/>
VISN 5	RC 3 - VISN CFD Filers	... » RC 3	Not Assigned (Pickney, E., acting)	<input type="button" value="Select"/>
Washington DC RC	RC 3 - Washington DC Deputy RC CFD	... » RC 3	Not Assigned (Pickney, E., acting)	<input type="button" value="Select"/>
Washington DC RO	RC 3 - Washington DC Regional Office (RO) CFD filers	... » RC 3	Not Assigned (Pickney, E., acting)	<input type="button" value="Select"/>
Washington DC VAMC	RC 3 - Washington DC VAMC CFD filers	... » RC 3	Not Assigned (Pickney, E., acting)	<input type="button" value="Select"/>

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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | **Admin** | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Confirm Move OGE 450 Filer

Are you sure you want to move **Winnie X. Bago** as a **OGE 450 Filer** from **Baltimore RO** to **Baltimore VAMC**?

Notes:

- This person is currently an OGE 450 Filer in Org Unit : **Baltimore RO**

Move Reports option:

- This filer has the following reports that can be moved with this filer.

Move Report with Filer?	Year	Form Type	Reporting Status	Review Status	Assigning Org Unit
<input type="checkbox"/>	2007	OGE 450	New Entrant	Under Review	Baltimore RO
<input type="checkbox"/>	2008	OGE 450	Annual	Not Started	Baltimore RO

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- 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.

The screenshot displays the 'Financial Disclosure Management' web application interface. At the top, the header includes 'FDM_TRAIN Test System' in red, 'Financial Disclosure Management' in large white text on a dark green background, and navigation tabs for 'My Reports', 'My Info', and 'Resources'. A 'Log Out' link is visible in the top right. Below the header, a secondary navigation bar contains 'Contact Info', 'My Assistants', and 'My Profile', with 'My Profile' being the active tab. The main content area is titled 'My Profile' and features two buttons: 'Edit Logins' and 'Audit Trail'. On the left, a 'My Roles' sidebar lists '450 Filer'. The main content displays 'General Org Unit Information' with the text 'I am a member of Org Unit [Baltimore RO](#)'. Below this, it states 'As 450 Filer, I have ...' followed by 'No Assistants'. The footer contains the text 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

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.

Financial Disclosure Management

Welcome **L X. Hamilton_1**

Click "Start This Report" button to start the assigned report.

	Year	Reporting Status	Org Unit	Current Due Date
Start This Report	2009	Annual	AMC HQ	02/17/2009

You may find it helpful to have the following information to prepare your report.

- ◆ 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
- ◆ Loan statements (if over \$10,000)

Go to **Reports List** to start a different report or to work on an existing report.

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

Financial Disclosure Management

My Info Resources Log Out

Reports Not Started Reports List

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

Getting Started Non-Investment Income Assets Liabilities Outside Positions Agreements Gifts Wrap Up

Getting Organized

You may find it helpful to have the following information to prepare your report.

- ◆ 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
- ◆ Loan statements (if over \$10,000)

[Continue ►](#)

Common Questions

- How is the information that I report used?
- Who may see my report?
- How is my financial information protected?
- If I have questions about completing my report whom do I contact for assistance?
- **Open a blank OGE 450?**
- Glossary

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

Reporting Status

Reporting Status

What is the reporting status for this report?

- Annual OGE 450** [Select reporting status "Annual" if you have filed an OGE 450 (or 450-A) before while in your current duty position or you filled an OGE 450 (New Entrant or Annual)(or 450-A) and moved to this position within 30 days of leaving the former position where you filled an OGE 450.]
- New Entrant OGE 450** [Select reporting status "New Entrant" if you did not file an OGE Form 450 (or an OGE Form 450-A)last year for this position (or you moved to this position - break in service - more than 30 days after leaving a position where you filed an OGE 450 or 450-A).]

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

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

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 15 th 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.

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.

Pre-Populate Report

Pre-populate my report with the report I have selected below - this option allows you to use the data from a previous report as a starting point for the new one. **Note: Virtually all filers should use this option and choose their most recent report.**

Report(s)

- 2011 Annual - Under Review
- Don't pre-populate my report** - use this option to start a new report.

Common Questions

- Why should I use previous report to populate my new report?
- Glossary

- 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.

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

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.

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there are navigation tabs for 'My Reports', 'My Info', and 'Resources'. Below these are 'Reports Not Started' and 'Reports List'. A secondary set of tabs includes 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main heading is 'Draft - Alf X. Romeo, 2011 Annual OGE 450 Report'. A progress bar below the heading shows several steps: 'Getting Started', 'Non-Investment Income', 'Assets', 'Liabilities', 'Outside Positions', 'Agreements', 'Gifts', and 'eSign'. The 'Checkpoint' section contains the following text:

- ▶ Your report information has been saved.
- ▶ Report needs to be submitted by: 02/15/2011

At the bottom of the main content area are two buttons: '◀ Back' and 'Continue ▶'. On the right side, there is a 'Common Questions' sidebar with the following items:

- ◆ Is there an extension for service during a period of national emergency or in a combat zone?
- ◆ How do I request an extension?
- ◆ What happens if I do not file by the required due date?
- ◆ Are there any penalties for an incomplete or false report?
- ◆ Glossary

At the very bottom of the page, there is a footer with the text: 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

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.

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

Draft - Alf X. Romeo, 2011 Annual OGE 450 Report

Getting Started **Non-Investment Income** Assets Liabilities Outside Positions Agreements Gifts eSign

Non-Investment Income

Add Income

Instructions: Report for yourself: (1) all sources of salary, fees, commissions, and other earned income greater than \$200, (2) honoraria greater than \$200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than \$200. Report for your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than \$1,000, and (2) honoraria greater than \$200. Do not report: Veterans' benefits, Federal Government salary, Thrift Savings Plan (TSP), or Social Security benefits.

Reporting Period: 01/01/2010 through 12/31/2010

Source of Income	Type of Income	Recipient	
Kroll Inc., New York, NY, USA	Pension Plan Payments (other than Federal Government)	Self	Edit Income Delete Income Add Comment

Common Questions

- What are some common mistakes I should avoid?
- My spouse works outside the home and earned \$75,000 during the reporting period. Do I have to list her employer on the form?
- I am employed part-time as a professor at a local college. I'm paid only \$500 for teaching one class. Do I have to list the college on my report?
- What non-investment income can I exclude?
- What are some

Back **Add Income** **Continue**

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.

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there are tabs for 'My Reports', 'My Info', and 'Resources'. Below that, a navigation bar shows 'Reports Not Started' and 'Reports List'. The main header reads 'Draft - Sandy X. Beache, 2008 Annual OGE 450 Report'. A secondary navigation bar includes 'Getting Started', 'Non-Investment Income' (highlighted), 'Assets', 'Liabilities', 'Outside Positions', 'Agreements', and 'Gifts'. The main content area is titled 'Add Non-Investment Income' and shows a 'Reporting Period: 01/01/2007 through 12/31/2007'. The form has two main sections: 'Source of Income' and 'Type of Non-Investment Income'. The 'Source of Income' section includes fields for Name (Kroll Inc.), City (New York), State (NY), and Country (USA). The 'Type of Non-Investment Income' section has radio buttons for Salary, Fees, Commissions, Income from personal services, Pension Plan Payments, Honoraria, and Other (Severance). A 'Recipient' section has checkboxes for 'Self' (checked) and 'Spouse'. 'Save' and 'Cancel' buttons are at the bottom. A 'Common' sidebar on the right lists questions like 'What are the instructions for this section?' and 'What are some common non-investment income types?'.

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

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

- 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.

Financial Disclosure Management

Log Out
My Reports My Info Resources

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

Getting Started Non-Investment Income Assets Liabilities Outside Positions Agreements Gifts Wrap Up

Add Asset and Investment Income

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

Asset Name: <input style="width: 90%;" type="text" value="Beach Rental"/>	Asset Owner: (optional) <input checked="" type="checkbox"/> Self <input type="checkbox"/> Joint <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child
Asset Type: <input type="radio"/> Stock, bond, option or security <input type="radio"/> Sector mutual fund <input checked="" type="radio"/> Real Estate City: <input style="width: 80%;" type="text" value="Ocean City"/> State: <input type="text" value="MD"/> Country: <input type="text" value="USA"/> <input type="radio"/> Privately held trade or business Description: <input style="width: 90%;" type="text"/> <input type="radio"/> Life Insurance (not term) <input type="radio"/> Annuity <input type="radio"/> Retirement Plan or Account (e.g., 401(k), IRA) <input type="radio"/> Pension Plan (Employer Name) Employer Name: <input style="width: 90%;" type="text"/> <input type="radio"/> Trust <input type="radio"/> Other (Partnership, LLC, S Corp, etc.) Describe: <input style="width: 90%;" type="text"/>	Were you still holding this asset? <input checked="" type="radio"/> Yes <input type="radio"/> No

Common Questions

- What are the instructions for this section?
- What are some common mistakes I should avoid?
- Do I have to report all assets that I owned during the reporting period and all investment income earned during this period?
- I owned stock in a company this year, but I sold it before the end of the year. When I sold it, the stock was worth \$2,000, and it earned \$500 in capital gains. Because I no longer own it, do I still have to report the name of the company on the OGE Form 450?
- Do I have to report the value of the assets I report on the form or the amount of income that I or my spouse earns?
- Do I have to report IRAs?
- I have only diversified mutual funds in my IRA. Do I have to report the IRA?
- I have a 401(k) with my former employer. Am I required to report the 401(k) on the form? If so, how do I report it?

Do not 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 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.
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.

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

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.

ADDING POSITIONS

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

- Click the **Outside Positions** section. The Positions Held Outside of US Government page is displayed.
- 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.

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

Getting Started | Non-Investment Income | Assets | Liabilities | **Outside Positions** | Agreements | Gifts | Wrap Up

Edit Outside Position

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

Organization:

Name: ePals Foundation

City: Herndon

State: VA

Country: USA

Type:

Business Enterprise (Company, Corporation, Firm, Partnership, etc.)

Educational Institution

Non-Profit or Volunteer Organization

Trust or Estate

Other

Position:

Title:

Employee

Officer

Director

Trustee

General Partner

Proprietor

Representative

Executor

Consultant

Other Mentor

No Longer Held:

Did you hold this position at the end of the reporting period?

Yes No

Save Cancel

Common Questions

- What are the instructions for this section?
- I am on the Board of Directors of my condo association. Do I have to report that position even though it couldn't be a conflict with my job?
- My husband is a partner in a local law firm and he is also the President of our son's PTA. Do these positions have to be reported?
- What outside positions can I exclude?
- What are some examples of reportable outside positions?
- Country Code Reference
- Glossary

- 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.

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

Getting Started | Non-Investment Income | Assets | Liabilities | Outside Positions | **Agreements** | Gifts | Wrap Up

Add Agreement or Arrangement

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

Other Party:

Name:

City:

State:

Country:

Type of Agreement:

Continuing participation in employee pension or benefit plan (other than Federal government)

Continuation of payments by former employer (including severance payments)

Leave of absence from non-Federal employment

Future employment

Other

Terms of Agreement or Arrangement:

Dee, Jones & Smith (San Diego, CA) - Will receive pension benefits (defined benefit plan) (Example of continuing participation in an employee pension or benefit plan by a former employer)

Save | Cancel

Common Questions

- What are the instructions for this section?
- After I retire, I would like to work in a restaurant owned by a friend of mine. We have never talked about it, but I thought I'd approach him as I get closer to my retirement date. Do I have to report this prospective employment?
- Do I report my 401(k)?
- What agreements or arrangements can I exclude?
- What are some examples of reportable agreements and arrangements?
- Do I have to report my TIAA-CREF plan?

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.

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

Getting Started | Non-Investment Income | Assets | Liabilities | Outside Positions | Agreements | **Gifts** | Wrap Up

Add a Gift or Travel Reimbursement

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

Source: Name: Brett Favre

Recipient: (optional) Self Joint Spouse Dependent Child

Type: Travel Related Reimbursement Other Gift

Description: (For travel-related items, include itinerary)
Season Tickets NY Jets

Save Cancel

Common Questions

- What are the instructions for this section?
- The instructions say to report gifts and travel-related reimbursements that I, my spouse, and my dependent child received during the reporting period. What does the term "dependent child" mean?
- The instructions inform me to report travel-related reimbursements and gifts totaling more than \$335 (the "aggregation threshold" - if reporting gifts received before 1 January 2008 then use

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.

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

Draft - Sandy X. Beache, 2006 Annual OGE 450 Report

Getting Started | Non-Investment Income | Assets | Liabilities | Outside Positions | Agreements | Gifts | Wrap Up

Report Not Ready for Submission

The following issues have been detected in your report:

Red Flags - Your report has **1 Red Flag(s)**. You must correct flagged entries before submitting your report. Questions - contact your legal advisor.

▶ Press continue to review your Red Flags.

[◀ Back](#) | [Continue ▶](#)

Common Questions

- How do I get back here to submit my report?
- What are flags?
- How do I review my report's flags?
- What happens if I do not file by the required due date?
- Are there any penalties for an incomplete or false report?
- How do I request an extension?
- Glossary

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

- 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

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there are navigation tabs for 'My Reports', 'My Info', and 'Resources'. Below these are 'Reports Not Started' and 'Reports List'. A secondary set of tabs includes 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main heading is 'Draft - Alf X. Romeo, 2011 Annual OGE 450 Report'. A progress bar below this heading shows several steps: 'Getting Started', 'Non-Investment Income', 'Assets', 'Liabilities', 'Outside Positions', 'Agreements', 'Gifts', and 'eSign'. The 'eSign' step is currently active. The main content area is titled 'Report Ready for Submission' and contains the following text:

- ◆ Congratulations, you have completed entry of your **2011 Annual** report.
- ◆ The next step is to submit the report to your Supervisor for their review.

Below the text are two radio button options:

- Submit Now**
- Submit Later**

At the bottom of the main content area are two buttons: '◀ Back' and 'Continue ▶'. On the right side, there is a 'Common Questions' sidebar with the following items:

- ◆ If I decide to review my report one last time, how do I get back here to submit it?
- ◆ What happens if I do not file by the required due date?
- ◆ Are there any penalties for an incomplete or false report?
- ◆ How do I request an extension?
- ◆ Glossary

At the very bottom of the page, there is a footer: 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

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

The screenshot displays the FDM system interface. At the top, it says "FDM TRAIN Test System" and "Financial Disclosure Management". The navigation menu includes: My Reports, Assist Filers, My Info, Review Filers, Admin, Resources, and Log Out. Below the menu, there are tabs for Reports List, Report Data, Attachments, Comments, Flags, Audit Trail, View/Print, and Review Status. The main heading is "Draft - L X. Knox_25, 2006 New Entrant (04/19/2006) SF 278 Report". A secondary navigation bar contains: Getting Started, Assets, Other Income, Liabilities, Agreements, Positions, Compensation, and Wrap Up. The central content area is titled "Report Ready for Submission" and contains the following text:

- ◆ Congratulations, you have completed entry of your **2006 New Entrant** report.
- ◆ The next step is to submit the report to the Filer's Senior Legal Counsel and/or Supervisor for their review.
- ◆ Timely filing avoids a mandatory \$200 late filing penalty.

Submission may only be done by the filer. Please inform Knox_25, L X. that the report may be submitted by logging in and navigating to the "Wrap Up" section of the report.

Your feedback is critical to the continued success of this application. Please take a few moments to complete a short survey. [Take the survey](#)

[Back](#)

On the right side, there is a "Common Questions" section with the following items:

- If I decide to review my report one last time, how do I get back here to submit it?
- Glossary

At the bottom of the page, it says "Security and Privacy Notice | Help | Accessibility | Developed by: C-E LCMC".

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
Log Out

My Reports
My Info
Resources
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
	Met Life Insurance Policy	Life Insurance (not term)	Self	<input type="checkbox"/>
	WMT (NYSE)	Stock, bond, option or security	Self	<input type="checkbox"/>
	MCD (NYSE)	Stock, bond, option or security	Self	<input type="checkbox"/>
	JNJ (NYSE)	Stock, bond, option or security	Self	<input type="checkbox"/>
	USB	Stock, bond, option or security	Self	<input type="checkbox"/>
	JENSX	Sector mutual fund	Self	<input type="checkbox"/>
	Beach Rental, Ocean City, MD, USA	Real Estate	Self	<input type="checkbox"/>

[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.

The screenshot shows the FDM system interface. At the top, there are navigation tabs: "My Reports", "My Info", and "Resources". Below these are "Reports Not Started" and "Reports List". A sub-menu includes "Report Data", "Attachments", "Comments", "Flags", "Audit Trail", "View/Print", and "Review Status". The main heading is "Draft - Alf X. Romeo, 2011 Annual OGE 450 Report". Below this is a progress bar with tabs for "Getting Started", "Non-Investment Income", "Assets", "Liabilities", "Outside Positions", "Agreements", "Gifts", and "eSign". The "eSign Report" section is active, showing "View this report" and "Step 1: By eSigning...". The certification text reads: "I hereby certify that the report data I have entered and all files I have attached are true, complete, and correct to the best of my knowledge. In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability solely because it is in electronic form. I hereby consent to the use of eSignature. I understand that my eSignature is applied to the information that I have provided and not the presentation formatting of the information on the screen or printed page." Below this is "Step 2: eSign your report" with a "View this report" link and an "eSign" button. A "Common Questions" sidebar is on the right, listing questions like "What is the FDM e4...", "Are there any penalties for an incomplete or false report?", "How do I review my report's flags?", and "Glossary". A "Back" button is at the bottom left.

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

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.

Submit Confirmed

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

The screenshot displays the FDM system interface. At the top, the title "Financial Disclosure Management" is prominently shown, with "FDM_TRAIN Test System" overlaid in red text. The navigation menu includes "My Reports", "My Info", "My Reviews", "Admin", "Management Reports", "Resources", and "Log Out". Below the menu, the user's current report is identified as "Under Review - Cara X. Mello, 2010 Annual OGE 450 Report". A progress bar indicates the completion of various sections: "Getting Started", "Non-Investment Income", "Assets", "Liabilities", "Outside Positions", "Agreements", "Gifts", and "Wrap Up". The main content area features a "Submit Confirmed" heading and two bullet points: "Your 2010 Annual Report was submitted on 07/22/2010." and "You may check the status of this report at any time by clicking on 'Review Status' on the menu bar." A "Provide Feedback" link is also present. On the right side, a "Common Questions" sidebar lists a "Glossary" link. The Department of the Army seal is visible in the top right corner.

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

Financial Disclosure Management

My Reports
My Info
Resources
Log Out

Reports Not Started
Reports List

Welcome Sandy X. Beache

- ▶ Annual OGE 450 Reports are due 15 February.
- ◆ To start a new OGE 450 report click "Add New Report".
- ◆ To work on an existing report select a report from the table below.

My OGE 450 Reports

Year	Reporting Status	Review Status	Last Updated	
2008	Annual	Under Review	10/06/2008	<input type="button" value="Amend"/> <input type="button" value="View"/>
2006	Annual	Complete	10/06/2008	<input type="button" value="View"/>

Common Questions

- What is the FDM e450?
- Why must I file this report?
- How is the information that I report used?
- Who may see my report?
- How is my financial information protected?
- The OGE Form 450 reporting rules changed in 2006. What are the changes?
- What are the reporting rules for the OGE 450?
- Is there an extension for service during a period of national emergency or in a combat zone?
- How do I request an extension?
- What happens if I do

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

FDM_TRAIN Test System
Financial Disclosure Management

My Reports | **My Info** | Resources | Log Out

Reports Not Started | **Reports List**

Welcome Winnie X. Bago

- ▶ Annual OGE 450 Reports are due 15 February.
 - ◆ To start a new OGE 450 report click "Add New Report".
 - ◆ To work on an existing report select a report from the table below.

My OGE 450 Reports

Year	Reporting Status	Review Status	Last Updated	
2008	Annual	Complete	07/17/2008	View
2006	Annual	Complete Ammended 09/15/2008	09/15/2008	View

[Add New Report](#)

Common Questions

- What is the FDM e450?
- Why must I file this report?
- How is the information that I report used?
- Who may see my report?
- How is my financial information protected?
- The OGE Form 450 reporting rules changed in 2006. What are the changes?
- What are the reporting rules for the OGE 450?
- Is there an extension

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.

The screenshot displays the 'FDM_TRAIN Test System' interface for 'Financial Disclosure Management'. The top navigation bar includes 'My Reports', 'My Info', and 'Resources', with a 'Log Out' link on the right. Below this, there are tabs for 'Reports Not Started' and 'Reports List'. A secondary set of tabs includes 'Report Data', 'Attachments', 'Comments' (which is selected), 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main content area shows the title 'Complete - Winnie X. Bago, 2006 Annual OGE 450 Report' and the sub-section 'Comments'. A large text box contains the message 'This report has no Comments.' Below this message is a button labeled 'Add Report Comment'. On the right side of the page, there is a 'Common Questions' sidebar with three bullet points: 'What is the difference between a comment on a Report and a comment on a line item?', 'What is the OGE 450 of Record?', and 'Glossary'.

⚠ Report comments cannot be deleted.

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

FDM_TRAIN Test System
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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
 Add Comment

Comment on: Report (Limit 500 characters)

Date: 09/16/2008 Author: Winnie X. Bago

I forgot to report that I received a leather briefcase, valued at \$350 from Jan Smith, a friend.

Save Cancel

Common Questions

- What is the OGE 450 of Record?
- When should a comment be part of the OGE 450 of Record?
- Glossary

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

FDM_TRAIN Test System
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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
 Comments

(listed in reverse chronological order)

Author	Author Role	Date	Comment On	Line Item	Category	Comment Text
Bago, Winnie X.	Filer	09/16/2008	Report		Supplemental	I forgot to report that I received a leather briefcase, valued at \$350 from Jan Smith, a friend. Edit Comment

Add Report Comment

Common Questions

- What is the difference between a comment on a Report and a comment on a line item?
- What is the OGE 450 of Record?
- Glossary

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.

The screenshot displays the 'Financial Disclosure Management' web application. At the top, there is a navigation bar with 'FDM_TRAIN Test System' in red, 'Financial Disclosure Management' in large white text, and 'Log Out' on the right. Below this are tabs for 'My Reports', 'My Info', and 'Resources'. A secondary navigation bar shows 'Reports Not Started' and 'Reports List'. A third bar contains tabs for 'Report Data', 'Attachments' (which is selected), 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main content area is titled 'Complete - Winnie X. Bago, 2006 Annual OGE 450 Report Attachments'. It features an 'Instructions' box stating that no attachments are required and providing a link to 'Add Attachment'. Below the instructions, a message reads 'This report has no Attachments.' and an 'Add Attachment' button is centered. On the right side, there is a 'Common Questions' sidebar with two bullet points: 'May I submit my broker's statement instead of entering each stock and mutual fund separately?' and 'Glossary'.

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

FDM_TRAIN Test System
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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
 Add Attachment

Instructions: Consult your ethics counselor or ethics official for use of this feature.

Date: 09/16/2008
Originator: Bago, Winnie X.
Type:

Job Description
 Extension Request
 Late Fee Waiver Request
 Cautionary Notice [Sample Template](#)
 Disqualification [Sample Template](#)
 Other

Notes: (optional, 250 char limit)

Enter filename to attach or click Browse to select file then click Upload

Filename:

Common Questions

- May I submit my broker's statement instead of entering each stock and mutual fund separately?
- Glossary

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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.

FDM_TRAIN Test System
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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
Attachments

Date Attached	Originator	Type	Name	Category	Notes	
09/16/2008	Bago, Winnie X.	Other : Future Employment Agreement	Future Employment Agreement for Filer Winnie Bago.doc	Supplemental	Future Employment Agreement for Winnie Bago	<input type="button" value="Replace"/> <input type="button" value="Delete"/>

Common Questions

- May I submit my broker's statement instead of entering each stock and mutual fund separately?
- Glossary

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.

FDM_TRAIN Test System
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

Under Review - Winnie X. Bago, 2006 Annual OGE 450 Report
 Review Status

OGE 450 Filer [? How Do I...](#)

Report Progress		Due Dates & Extensions	
Assigned:	Yes	Current Due Date:	02/15/2007
Filer Started:	10/28/2008	Report Due Date:	02/15/2007
Filer eSign and Submitted:	10/28/2008	View/Edit Due Date & Extensions	
Amended:		No extensions have been recorded.	
Completed:			

Disclosure Report Reviews

[Review Chain Audit Trail](#)

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Dan D Lyons	<input checked="" type="checkbox"/>	Organization	10/30/2008 Lyons, Dan D. Supervisor	10/30/2008 Lyons, Dan D. Supervisor
Supervisor SLC	B X Ross_4	<input checked="" type="checkbox"/>	Organization		
450 Certifier	B X Ross_3	<input checked="" type="checkbox"/>	Organization		

Common Questions

- What is the difference between Review Date and Signature Date?
- What is the Amended date and how does it differ from the Submitted Date?
- When should an Additional Reviewer be added?
- Glossary

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.

Report Progress	Created: 4/9/2007 Submitted: Amended: Completed: by:
Signoff Progress	Filer: eSigned by: Supervisor: eSigned by: Reviewer: eSigned by:
Extensions	Extension Type: National Emerg Extension Number of Days: 45 New Due Date: 4/1/2007

Currently Assigned Reviewers	Role	Re D
Slc_450_1, Training X.	SLC	
Slc_450_1, Training X.	Supervisor's SLC	

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**.

The screenshot displays the FDM web application interface. At the top, there is a navigation menu with tabs for 'My Reports', 'My Info', 'My Reviews', 'Admin', 'Management Reports', and 'Resources'. Below this, a sub-menu shows 'Reports Not Started' and 'Reports List'. A secondary menu contains 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main content area is titled 'Draft - L X. Hamilton_1, 2009 Annual OGE 450 Report' and includes a 'View/Print' link. Below the title, there is a section for 'FDM e450 Report' with a 'View/Print' button, and an 'Attachments' section stating 'No Attachments were Found'. At the bottom, a 'Submit Report' instruction points to the 'Wrap Up' section of the 'Report Data'.

☞ 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)	

Date Received by Agency	2/22/2008
Employee Signature	eSigned in FDM by: Lee, Brock X. User ID: <input checked="" type="checkbox"/> 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

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

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



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.

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.

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.

The screenshot shows the 'Financial Disclosure Management' web application. The header includes the system name and a Department of the Army logo. The navigation menu has tabs for 'My Reports', 'My Info', 'Review Reports', 'Admin', 'Management Reports', and 'Resources'. Below this is a secondary menu with 'Reports List', 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. A 'Log Out' link is in the top right. The main content area is titled 'Select a Senior Legal Counsel' and contains the following text: 'You are a Supervisor of more than one Org Unit with different Senior Legal Counsel's.' Below this is an instruction: 'Instructions: Please select the Senior Legal Counsel to review your report.' A table titled 'Senior Legal Counsels assigned to your Org Units' lists four options: 'Teak, Anne*' (RDECOM), 'Left, Eileen' (CERDEC 12WD), 'Teak, Anne' (RDECOM), and 'None of the Above'. A note below the table states: '* Denotes the Senior Legal Counsel assigned to the Org Unit where you are a SF 278 Filer'. On the right side, there is a 'Common Questions' sidebar with two items: 'What happens if "None of the Above" is selected?' and 'Glossary'. At the bottom of the main content area are 'Back' and 'Continue' buttons. The footer contains the text: 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

Select One	Name	Organization
<input type="radio"/>	Teak, Anne*	RDECOM
<input type="radio"/>	Left, Eileen	CERDEC 12WD
<input checked="" type="radio"/>	Teak, Anne	RDECOM
<input type="radio"/>	None of the Above	

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.

DM_QA_TEST Test System

Financial Disclosure Management

DEPARTMENT OF THE ARMY
OFFICE OF THE ARMY COMPTROLLER
775
OF AMERICA

My Reports My Info Review Filers Admin Resources Management Reports Log Out

Contact Information My ECs My Assistants My Filers My Profile Required Activity

My Profile

Edit Logins View Audit Trail

My Roles

- ◆ [278 Filer](#)
- ◆ [450 Filer](#)
- ◆ [Supervisor](#)
- ◆ [450 Certifier](#)
- ◆ [450 Certifier Assistant](#)
- ◆ [450 Certifier EC](#)
- ◆ [SLC](#)
- ◆ [SLC Assistant](#)
- ◆ [DAEO](#)
- ◆ [DAEO EC](#)
- ◆ [Agency Admin](#)

General Org Unit Information

I am a member of Org Unit [dsfdfsafdfs](#)

As 278 Filer, I have . . .

[Sec, Asdn](#) as SF278 Filer Assistant
[Sec, Asdq](#) as SF278 Filer Assistant

Security and Privacy Notice | Help | Accessibility | Developed by: C-E LCMC

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.

FDM TRAIN Test System
Financial Disclosure Management

My Reports My Info Resources

Reports Not Started Reports List

Welcome OGC 278Filer1

▶ Click "Start This Report" button to start the assigned report.

My SF 278 Reports Not Started				
	Filer	Assigned Report	Org Unit	Current Due Date
Start This Report	OGC 278Filer1	Incumbent Report covering 1 Jan - 31 Dec 2010	OGC	05/16/2011

▶ Go to **Reports List** to start a different report or to work on an existing report.

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

Are you a Special Government Employee?
 No Yes

Please Select a Filer Category:

- SELECT-
- SELECT-
- PAS
- Non-Career SES
- Career SES
- Schedule C
- Military
- Other

Common Questions

- ◆ What information might help me prepare this report?
- ◆ How is the information that I report used?
- ◆ Do I report my spouses' assets if we are separated?
- ◆ How is my financial information protected?
- ◆ Who is a Special Government Employee (SGE)?
- ◆ What is my Filer category?
- ◆ [Open a SF 278 Instructions](#)
- ◆ [Open a blank SF 278](#)
- ◆ [Glossary](#)

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

What is the reporting status for this report?

- Incumbent** [Use this if you worked more than 60 days last year in a position which required filing of an SF 278. (This includes individuals temporarily promoted to such a position or who were temporarily detailed to such a position.)]
- New Entrant** [Use this if you are a new Federal government employee as you start a position that requires an SF 278. (Note: if you filed an SF 278 in a previous position and less than 30 days have elapsed since leaving that position or you are not expected to work more than 60 days in a covered position in a calendar year you may not need to file. Consult your legal advisor.)]
- Termination** [Use this if you are leaving your Government position.]
- Incumbent and Termination** (Only 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). See the Common Question: Who is an incumbent and termination filer?(at right).)

[◀ Back](#) [Continue ▶](#)

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

- ⌘ 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.

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).

- ☞ 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.

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there are navigation tabs: 'My Reports', 'My Info', and 'Resources'. Below this is a 'Reports List' section with a title bar for 'Draft - Holly X. Daye, 2008 Incumbent SF 278 Report'. A secondary navigation bar includes 'Getting Started', 'Assets', 'Other Income', 'Transactions', 'Gifts, etc', 'Liabilities', 'Agreements', 'Positions', and 'Wr'. The main content area is titled 'Checkpoint' and contains the following text:

- ▶ Your report information has been saved.
- ▶ Please submit your report by 05/15/2008. Timely filing avoids a \$200 late filing penalty.

The information contained within this report is based upon your previous report. Please review your current report and make any necessary modifications. You have the final responsibility for ensuring the accuracy of all information in the current report.

Buttons: <Back, Continue>

Please note the comments from your previous report to guide you in completing this one.

Under Review - Holly X. Daye, 2009 Incumbent SF 278 Report

(listed in reverse chronological order)

Author	Author Role	Date	Comment On	Line Item	Category	Comment Text
Bago, Winnie X.	Reviewer	06/24/2009	Report			Changed Supervisor to Don's Supervisors Training 278_4

Buttons: <Back, Continue>

On the right side, there is a 'Common Questions' sidebar with links to: 'How do I change reporting status?', 'Is there a "comb zone extension"?' (likely combination zone extension), 'What happens if not file by the date?', 'How do I request extension?', and 'Glossary'.

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**.

FDM_TRAIN Test System
Financial Disclosure Management

My Reports My Info Resources

Reports List

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

Under Review - Holly X. Daye, 2009 Incumbent SF 278 Report

Getting Started Assets Other Income Transactions Gifts, etc Liabilities Agreements

Appointment Date

Instructions: For military filers, the date of appointment is the date of promotion to BG (not the date of frocking to that grade). For career military officers, the date of appointment will not change from the date of promotion to BG. For civilian personnel, the date of appointment is the date of entrance on duty in the covered position. For members of the Senior Executive Service, the date of appointment will not change from the date of entry on duty in an SES position. If you are assuming a new position within 30 days of leaving another position for which you filed SF 278, a new entrant report is not required.

Appointment Date: / / (mm/dd/yyyy)

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.

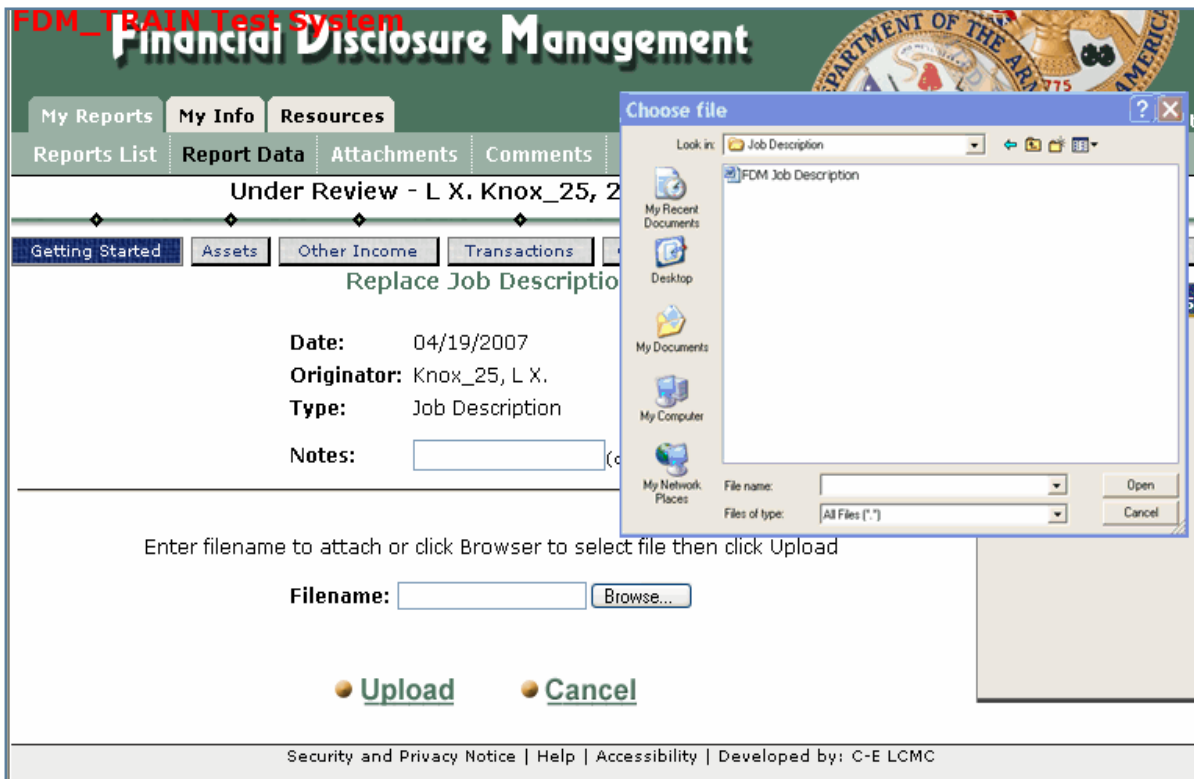
9. Click **Add New Position** to add information about the position for which you are filing this disclosure report. Otherwise, click **Continue**.

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.

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).

Reporting Period: Consult the ethics counselor for specific period covered.

Seq.# ▲	Asset Name	Type of Asset	Owner	Asset Value	Type of Income	Asset Income
1	Beach Rental, Mantap, NC, USA	Real Estate	Joint	\$250,001-\$500,000	Rent or Royalties	\$5,001-\$15,000

Common Questions
 ♦ What are examples of reportable assets?
 ♦ Do I have to report my personal savings or checking accounts?
 ♦ Do I need to report a loan that I have made to another person (or a loan that my spouse or dependent child has made to another person)?
 ♦ Do I report my spouses' assets if we are separated?
 ♦ What is my Filing Date?
 ♦ Country Code Reference
 ♦ Glossary

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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.

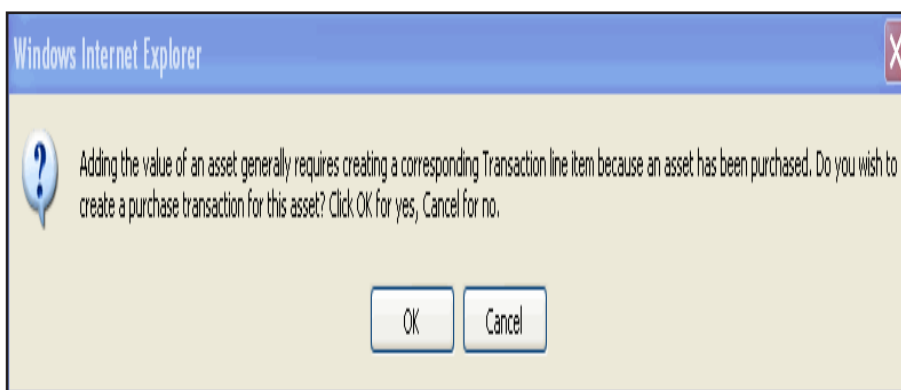
Financial Disclosure Management							
My Reports	My Info	Review Filers	Admin	Resources			
Reports List	Report Data	Attachments	Comments	Flags	Audit Trail	View/Print	Review Status
Draft - Mac X. Verd, 2007 Incumbent SF 278 Report							
Getting Started	Assets	Other Income	Transactions	Gifts, etc	Liabilities	Agreements	Posit
Add Asset							
<p>Instructions: Enter a name for the asset, for example, the company name for a stock or bond. Optionally, you can choose the owner. Then choose the type of asset, including providing any indicated additional information (e.g., Publicly traded for a Stock, Bond, Option, or Security). Provide the location. Select the appropriate Asset Value. For Assets that also provide income, choose the type(s) of income (more than one is permitted) and select the appropriate Income Amount. If this asset is an underlying asset to another asset, check the appropriate box and select the parent asset.</p>							
Reporting Period: Calendar Year 2006.							
Asset Name: <input type="text" value="Beach Rental"/>				Asset Owner: (optional) <input type="checkbox"/> Self <input checked="" type="checkbox"/> Joint <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child			
Asset Type: <input type="radio"/> Checking, Savings, or Money Market Account <input type="radio"/> Stock, Bond, Option, or Security <input checked="" type="radio"/> Real Estate <input type="radio"/> Mutual Fund, Investment Fund, or Pool <input type="checkbox"/> Excepted Investment Fund <input type="radio"/> Trust (mm/dd/yyyy) <input type="radio"/> Excepted - Creation Date: <input type="text"/> / <input type="text"/> / <input type="text"/> <input type="radio"/> Qualified <input type="radio"/> Not Excepted or Qualified <input type="radio"/> Retirement Plan or Account (e.g., 401(k), IRA) <input type="radio"/> Pension Plan (Employer Name) If asset value is not known, indicate Terms & Amount: <input type="text"/> <input type="radio"/> Other, Partnership, LLC, or S Corp Describe: <input type="text"/>				Asset Income Information: <input type="radio"/> No Reportable Income (or less than \$201) <input checked="" type="radio"/> Investment Income <input type="checkbox"/> Dividends <input type="checkbox"/> Capital Gains <input type="checkbox"/> Interest <input checked="" type="checkbox"/> Rent or Royalties Amount: <input type="text" value="\$15,001-\$50,000"/> <input type="radio"/> Other Investment Income Description: <input type="text"/> Actual Amount: \$ <input type="text"/>			
Asset Value: <input type="text" value="\$250,001-\$500,000"/>				Underlying Asset: <input type="checkbox"/> This is an underlying asset.			
Asset Location: City: <input type="text" value="Manteo"/> State: <input type="text" value="NC"/> Country: <input type="text" value="USA"/>							
<p>* The "Over \$1,000,000" 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, select the other higher categories of value, as appropriate.</p>							
<input type="button" value="Save"/>				<input type="button" value="Cancel"/>			

- 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.

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

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there are tabs for 'My Reports', 'My Info', and 'Resources'. Below that is a 'Reports List' section with various report data options. The main content area is titled 'Draft - L X. Hamilton_24, 2009 Incumbent SF 278 Report'. A navigation bar includes 'Getting Started', 'Assets', 'Other Income', 'Transactions', 'Gifts, etc', 'Liabilities', 'Agreements', and 'Positions'. The 'Other Income' section is active, displaying the 'Add Other Earned or Non-Investment Income' form. The form includes instructions, a reporting period of 'Calendar Year 2008', and several input fields: 'Source of Income: Name' (ABC Partners), 'Recipient: (optional)' (Self, Spouse), 'Type of Other Income' (radio buttons for Salary, Fees, Commissions, etc.), and 'Amount of Other Income: Actual Amount' (\$). There are 'Save' and 'Cancel' buttons at the bottom.

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.

FDMS - FRAIN Test System
Log Out

Financial Disclosure Management

My Reports | My Info | Review Reports | Admin | Management Reports | Resources

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

Under Review - Paige Turner, 2007 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | Gifts, etc | Liabilities | Agreements | Positions | Wrap Up

Add Transaction

Instructions: Enter a name for the Asset, e.g., the company name for a stock or bond. Then choose the owner and type of asset, including providing a City and State for a business partnership, joint venture or rental property. If you have a type of asset that is not listed, choose "Other" and provide a description of the kind of asset. Finally, fill in the date, type (purchase, sale or exchange) and number of transactions (single/multiple), select an amount for the transaction. Lastly, on sales transactions, indicate whether an item was sold pursuant to a certificate of divestiture issued by the Office of Government Ethics.

Reporting Period: Consult the ethics counselor for specific period covered.

<p>Asset Name: <input style="width: 90%;" type="text"/></p> <p>Type of Asset:</p> <p><input type="radio"/> Checking, Savings, or Money Market Account</p> <p><input type="radio"/> Stock, Bond, Option, or Security</p> <p><input type="radio"/> Real Estate</p> <p><input type="radio"/> Mutual Fund, Investment Fund, or Pool <input type="checkbox"/> Excepted Investment Fund</p> <p><input type="radio"/> Trust <input type="radio"/> Excepted <input type="radio"/> Qualified <input type="radio"/> Not Qualified or Excepted</p> <p><input type="radio"/> Retirement Plan or Account (e.g., 401(k), IRA)</p> <p><input type="radio"/> Pension Plan (Employer Name)</p> <p><input type="radio"/> Other, Partnership, LLC, or S Corp Describe: <input style="width: 80%;" type="text"/></p>	<p>Asset Owner: (optional)</p> <p><input type="checkbox"/> Self <input type="checkbox"/> Joint <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child</p> <p>Transaction Information:</p> <p>Type: <input type="radio"/> Exchange Exchanged Assets (65 Character Max) <input style="width: 100%;" type="text"/></p> <p><input type="radio"/> Purchase <input type="radio"/> Sale</p> <p>Number of Transactions: <input checked="" type="radio"/> Single Date: <input style="width: 20px;" type="text"/> / <input style="width: 20px;" type="text"/> / <input style="width: 20px;" type="text"/> (Ex: mm/dd/yyyy)</p> <p><input type="radio"/> Multiple</p> <p>Aggregate Amount: <input style="width: 100%;" type="text" value="-SELECT-"/></p> <p>Certificate of Divestiture: <input type="checkbox"/></p>
--	--

Asset Location:
City: State: Country:

Common Questions

- ◆ What is an exchange?
- ◆ How do I report an exchange?
- ◆ How do I show multiple transactions concerning the same asset during the reporting period?
- ◆ What if my transaction amount is less than \$1001?
- ◆ When do I need to provide the City, State, and/or Country?
- ◆ What is an Excepted Investment Fund (EIF)?
- ◆ What is a Qualified Trust?
- ◆ How do I report a transaction related to a "529" or similar prepaid tuition plan?
- ◆ How do I report transactions for pooled investment vehicles?
- ◆ Country Code Reference
- ◆ Glossary

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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:	<ul style="list-style-type: none"> ♦ 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.

FDM TRAIN Test System
Financial Disclosure Management

My Reports | My Info | Review Reports | Admin | Management Reports | Resources | Log Out

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

Under Review - Paige Turner, 2007 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | **Gifts, etc** | Liabilities | Agreements | Positions | Wrap Up

Add Gifts, Reimbursements, or Travel Expenses

Instructions: For Donor, enter the name of the person or organization that provided the gift and the City and State in which they are located. Indicate the recipient, the type of gift and provide a brief description of the gift (See common questions for some guidance on the information that should be in the description for the different types of gifts). Finally, provide the amount of the gift (in dollars).

Reporting Period: Consult the ethics counselor for specific period covered.

Donor:
 Name: American History Museum
 City: New York State: NY
 Country: USA

Recipient:(optional)
 Self
 Joint
 Spouse
 Dependent Child

Type:
 In kind travel expense
 Reimbursement expense
 Other gift

Brief Description: (max number of characters is 215)
 Tickets to Spring event from my wife's company

Value: (in Dollars) \$ 650

Save Cancel

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Common Questions
 ♦ How do I report a gift of travel?
 ♦ How do I report a reimbursement?
 ♦ How do I report gifts from non-profit organizations accepted under 5 U.S.C. Section 4111?
 ♦ How do I report other gifts?
 ♦ Types of reportable gifts, reimbursements, and travel expenses.
 ♦ Country Code Reference
 ♦ Glossary

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.

FDMS - Financial Disclosure Management

My Reports | My Info | Review Reports | Admin | Management Reports | Resources | Log Out

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

Under Review - Paige Turner, 2007 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | Gifts, etc | **Liabilities** | Agreements | Positions | Wrap Up

Add Liability

Instructions: Enter the creditor's name. Then pick the liability type, including providing any indicated additional information (e.g., the location for mortgaged rental property). Provide the date the liability was incurred, its annual interest rate (or a formula, if not a fixed rate). Finally, select the range for the amount owed on the liability during the reporting period.

Reporting Period: Consult the ethics counselor for specific period covered.

Creditor:
 Name: Bank of NC
 City: Raleigh
 State: NC Country: USA

Owner: (optional)
 Self Joint Spouse Dependent Child

Type of Liability:
 Credit Card/Revolving Charge Account
 Loan
 Mortgage (not principal residence unless rented)
 Property Location:
 City: Manteo
 State: NC Country: USA
 Other

Liability Information:
 Year Incurred: 2002 (yyyy)
 Interest Rate:
 Annual Percentage Rate 6.5 x.y %
 Formula
 Term: 30
 (#Yrs. or Phrase, e.g. On Demand)
 Highest Amount Owed During Reporting Period: \$15,001-\$50,000
 Reportable Amount values are: -SELECT-

Common Questions

- What are examples of liabilities?
- What are examples of non-reportable liabilities?
- Do I have to report my home mortgage?
- Do I have to provide the exact address of the creditor?
- Do I have to report credit card debt/revolving charge accounts?
- What is my Filing Date?
- How do I report a variable interest rate?
- Are margin accounts reportable?
- What amount do I report on a liability?
- Country Code Reference
- Glossary

Save **Cancel**

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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

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

The screenshot shows the 'Financial Disclosure Management' system interface. The user is logged in as 'Paige Turner' and is viewing the 'Agreements' section for the '2007 Incumbent SF 278 Report'. The 'Add Agreement or Arrangement' form is displayed, which includes the following sections:

- Instructions:** Identify the Organization with which you have made the agreement, including its location (City and State). Provide the date of the agreement and choose the type of agreement. Finally, describe its status and terms with appropriate specificity. If applicable, provide the Name and Title of the official, corporate officer or principal person responsible for carrying out the terms of the agreement or arrangement. See the examples for some illustrations. No report is required regarding any agreement or arrangement entered into by a spouse or dependent child.
- Reporting Period:** Consult the ethics counselor for specific period covered.
- Other Party:**
 - Organization Name: J. Jones and Company
 - City: New York
 - State: NY
 - Country: USA
 - Agreement Date: 01 / 2006 (mm/yyyy)
- Type of Agreement:**
 - Continuing participation in Employee Benefit Plan (other than US government)
 - Continuation of payments by former employer (other than US government)
 - Severance
 - Stock Option
 - Leave of absence during government service
 - Future Employment Agreement
 - Other
- Status and Terms of the Agreement or Arrangement:**
 - (Example: Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.)
 - Receiving severance compensation

Buttons for 'Save' and 'Cancel' are located at the bottom of the form. A 'Common Questions' sidebar is visible on the right side of the form.

- 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.

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

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.

ADDING POSITIONS

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

- Click the **Positions** section. The Positions Held Outside of US Government page is displayed.
- 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.

The screenshot shows the 'Financial Disclosure Management' system interface. At the top, there is a navigation bar with tabs for 'My Reports', 'My Info', 'Review Reports', 'Admin', 'Management Reports', and 'Resources'. Below this is a sub-navigation bar with 'Reports List', 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main header indicates the user is 'Under Review - Paige Turner, 2007 Incumbent SF 278 Report'. A secondary navigation bar includes 'Getting Started', 'Assets', 'Other Income', 'Transactions', 'Gifts, etc', 'Liabilities', 'Agreements', 'Positions', and 'Wrap Up'. The 'Positions' tab is selected.

The main content area is titled 'Add Position Held Outside U.S. Government'. It contains the following sections:

- Instructions:** Enter the name and location (City and State) of the organization for which you held a position. Then choose the Title or other brief functional description of the position and the dates you held the position. Note: If you currently hold the position, under Dates Held: To, select Present instead of entering a date.
- Reporting Period:** Consult the ethics counselor for specific period covered.
- Organization:**
 - Name: Holmdel Sanctuary
 - City: Holmdel
 - State: NJ
 - Country: USA
- Position Held:**
 - Title:
 - Consultant
 - Director
 - Employee
 - Officer
 - General Partner
 - Proprietor
 - Representative
 - Trustee
 - Other
 - Date Held:
 - From: 02 / 2005 (mm/yyyy)
 - To: Date / / (mm/yyyy) Present
- Type:**
 - Business Enterprise (Company, Corporation, Firm, Partnership, etc.)
 - Educational Institution
 - Non-Profit Organization
 - Trusts and Estates
 - Other

At the bottom of the form are 'Save' and 'Cancel' buttons. On the right side, there is a 'Common Questions' sidebar with links to 'What is a reportable position?', 'What is my Filing Date?', 'Country Code Reference', and 'Glossary'.

- 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.

FDM TRAIN Test System
Financial Disclosure Management

My Reports | My Info | Review Reports | Admin | Management Reports | Resources | Log Out

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

Draft - Paige Turner, 2008 New Entrant (01/01/2008) SF 278 Report

Getting Started | Assets | Other Income | Liabilities | Agreements | Positions | Compensation | Wrap Up

Add Compensation in Excess of \$5,000 Paid by One Source

Instructions: Enter the Name, City, and State of your source of compensation (employer, firm or other business affiliation) in excess of \$5,000 during any one year of the reporting period. If you personally provided more than \$5,000 in services to a client or customer of your source of compensation, enter the Name, City, and State of the client or customer. Enter the title or other brief functional description of the services rendered.

Reporting Period: From 01/01/2006 through your filing date.

Source or Client Name: Bona Fide Confidential Client Relationship

Name:

City:

State:

Country:

Brief Description of Duties:

Common Questions

- ◆ How do I report sources of compensation over \$5000?
- ◆ How do I report compensation from one source with multiple clients?
- ◆ Do I need to report information considered confidential?
- ◆ When should I check the "Bona Fide Confidential Relationship" box?
- ◆ What is my filing date?
- ◆ Country Code Reference
- ◆ Glossary

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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 closer look.

The screenshot displays the FDM system interface. At the top, it says "FDM_TRAIN Test System" and "Financial Disclosure Management". The navigation bar includes "My Reports", "My Info", and "Resources". The main content area shows a report titled "Draft - HR 278Filer8, 2011 Incumbent OGE 278 Report". Below the title, there are tabs for "Getting Started", "Assets", "Other Income", "Transactions", "Gifts, etc", "Liabilities", "Agreements", "Positions", and "eSign". The "eSign" tab is selected, and the status is "Report Ready for Submission". A message states: "Timely filing avoids a mandatory \$200 late filing penalty. The following issues have been detected in your report: Red Flags - Your report has 10 Red Flag(s). You should correct flagged entries before submitting your report. Questions - contact your legal advisor." Below this message are two radio buttons: "Submit Now with Red Flags" and "Review my Flags". At the bottom, there are "Back" and "Continue" buttons. A "Common Questions" sidebar is visible on the right, listing "What are flags?", "How do I review the red flags?", and "Glossary".

- 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.

FDM_TRAIN Test System

Financial Disclosure Management

DEPARTMENT OF THE ARMY
OFFICE OF THE SECRETARY
OFFICE OF FINANCIAL DISCLOSURE MANAGEMENT

My Reports My Info Review Filers Admin Resources Log Out

Reports List Report Data Attachments Comments **Flags** Audit Trail View/Print Review Status

Under Review - Training X. 450_28, 2007 New Entrant OGE 450 Report

Red Flags

Outside Positions				
Organization	Type of Organization	Position	No Longer Held	
Shore Seagrass Preservation Society, Manteo, NC, USA	Non-Profit Organization	Trustee		Edit Delete
♦ It is required to specify if the outside position is still being held.				

Yellow Flags

Contact Information	
♦ The address line 1 of the home address was not provided.	Go to Home Address
♦ The city of the home address was not provided.	Go to Home Address
♦ The country of home address was not provided.	Go to Home Address

Common Questions

- What are flags?
- Glossary

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

FDM_TRAIN Test System
Financial Disclosure Management

My Reports | My Info | Review Filers | Admin | Resources | Log Out

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

Draft - Dillon X. Lambino, 2007 New Entrant (09/07/2007) SF 278 Report

Getting Started | Assets | Other Income | Liabilities | Agreements | Positions | Compensation | Wrap Up

Report Ready for Submission

- ◆ Congratulations, you have completed entry of your **2007 New Entrant** report.
- ◆ The next step is to submit the report to your Senior Legal Counsel and/or Supervisor for their review.
- ◆ Timely filing avoids a mandatory \$200 late filing penalty.

Submit Now
 Submit Later

[◀ Back](#) [Continue ▶](#)

Common Questions

- If I decide to review my report one last time, how do I get back here to submit it?
- Glossary

Security and Privacy Notice | Help | Accessibility | Developed by: C-E LCMC

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.

FDM TRAIN Test System
Financial Disclosure Management

DEPARTMENT OF THE ARMY
OFFICE OF THE CHIEF OF STAFF
OFFICE OF FINANCIAL DISCLOSURE MANAGEMENT

My Reports Assist Filers My Info Resources Log Out

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

Draft - Paige Turner, 2008 New Entrant (01/01/2008) SF 278 Report

Getting Started Assets Other Income Liabilities Agreements Positions Compensation Wrap Up

Report Ready for Submission

- ◆ Congratulations, you have completed entry of your **2008 New Entrant** report.
- ◆ The next step is to submit the report to the Filer's Senior Legal Counsel and/or Supervisor for their review.
- ◆ Timely filing avoids a mandatory \$200 late filing penalty.

Submission may only be done by the filer. Please inform Turner, Paige that the report may be submitted by logging in and navigating to the "Wrap Up" section of the report.

Your feedback is critical to the continued success of this application. Please take a few moments to complete a short survey.

► [Take the survey](#)

◀ Back

Common Questions

- ◆ If I decide to review my report one last time, how do I get back here to submit it?
- ◆ Glossary













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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.

My Info	Review Filers	Admin	Resources	Management Reports	Log Out			
Reports List	Report Data	Attachments	Comments	Flags	Audit Trail	View/Print	Review Status	Compare
Complete - Cherri X. Lolar, 2008 Incumbent SF 278 Report								
Disclosure Report Comparison								
								
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	*		*					
* 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	Bank of Delaware	Checking, Savings, or Money Market Account	Spouse	\$250,001-\$500,000	Interest	\$2,501-\$5,000	
		Xxxx-XXXX	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.

FDM TRAIN Test System
Financial Disclosure Management

My Reports | My Info | Resources

Reports List

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

Under Review - Holly X. Daye, 2009 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | Gifts, etc | Liabilities | Agreements | Pos

eSign Report

[View this report](#)

Step 1: By eSigning...

I hereby certify that the report data I have entered and all files I have attached are true, complete, and correct to the best of my knowledge.

I certify that I am aware of the [Annual Post-Employment Certification and Notification to Senior Officials on Post-Government Employment Restrictions](#) under 18 USC § 207, and that I have not knowingly violated those restrictions that apply to Federal personnel while they are in Federal service.

In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability solely because it is in electronic form. I here by consent to the use of eSignature.

I understand that my eSignature is applied to the information that I have provided and not the presentation formatting of the information on the screen or printed page.

Step 2: Submit my report to...

Gladys X Frydey (Senior Legal Counsel)
 Training X 278_4 (Supervisor)

Step 3: eSign your report

[View this report](#)

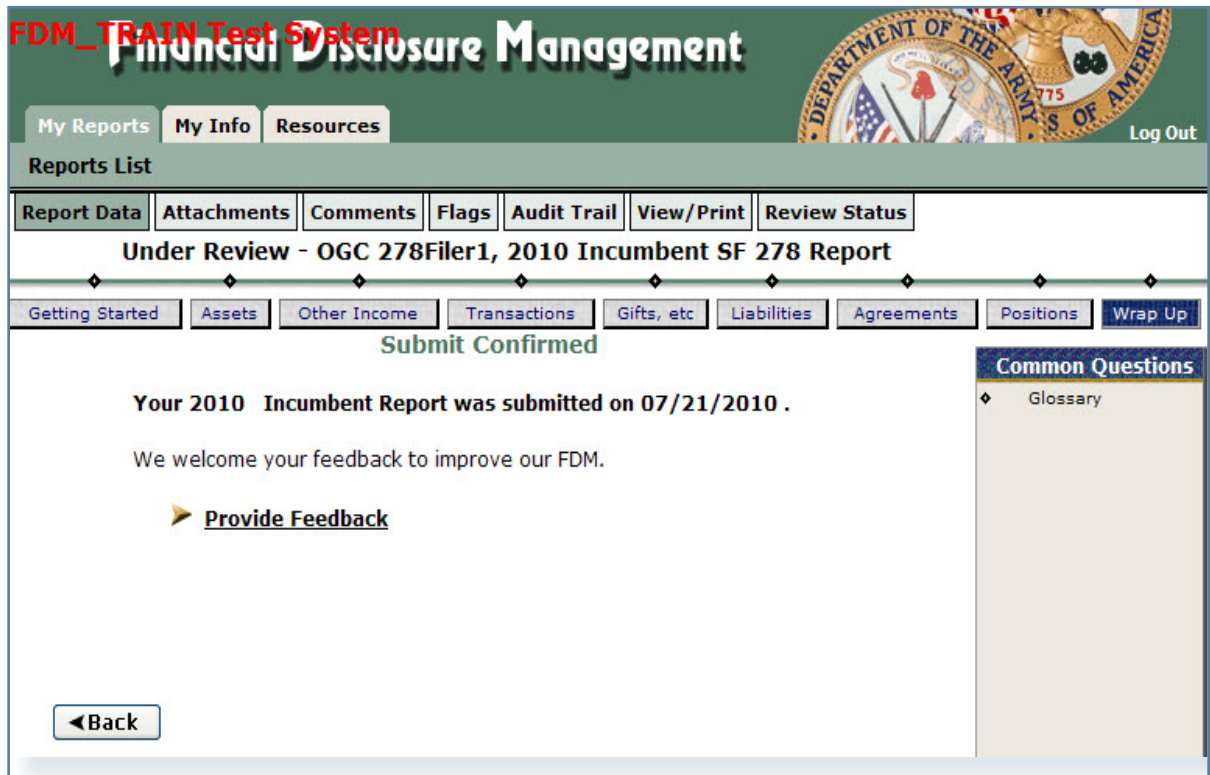
- Once you have eSigned your report, FDM sends an e-mail message to your selected reviewers indicating that your report is awaiting their review.

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.

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.



The screenshot shows the 'Submit Confirmed' page in the Financial Disclosure Management (FDM) system. The page header includes 'FDM_TRAIN Test System' and 'Financial Disclosure Management' with the Department of the Army seal. Navigation tabs include 'My Reports', 'My Info', and 'Resources'. A 'Log Out' link is in the top right. Below the header is a 'Reports List' section with tabs for 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The current report is 'Under Review - OGC 278Filer1, 2010 Incumbent SF 278 Report'. A progress bar shows the current step is 'Submit Confirmed', with other steps including 'Getting Started', 'Assets', 'Other Income', 'Transactions', 'Gifts, etc', 'Liabilities', 'Agreements', 'Positions', and 'Wrap Up'. The main content area displays 'Submit Confirmed' and 'Your 2010 Incumbent Report was submitted on 07/21/2010.' It also includes the text 'We welcome your feedback to improve our FDM.' and a 'Provide Feedback' link with a right-pointing arrow. A 'Back' button is located at the bottom left. On the right side, there is a 'Common Questions' sidebar with a 'Glossary' link.

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

FDM_TRAIN Test System

Financial Disclosure Management

My Reports My Info Resources Log Out

Reports List

Welcome L X. Knox_25

- ▶ Annual Incumbent SF 278 Reports are due 15 May.
- ▶ Annual Post-Employment Certification is completed concurrent with SF 278 submission online.

- ◆ To start a new SF 278 report click "Add New Report".
- ◆ To work on an existing report select a report from the table below.

My SF 278 Reports

Year	Reporting Status	Review Status	Last Updated	
2007	Incumbent	Under Review	04/19/2007	Amend View
2006	New Entrant	Draft	04/10/2007	Edit Delete
2006	New Entrant	Draft	04/18/2007	Edit Delete

Common Questions

- What is the Annual Post-Employment Certification and Notification?
- Is there a "combat zone extension" for completing the Annual Post-Employment Certification and Notification?
- Glossary

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

Financial Disclosure Management

My Reports | My Info | Resources

Reports List

Welcome Holly X. Daye

- ▶ Annual Incumbent SF 278 Reports are due 15 May.
- ▶ Annual Post-Employment Certification is completed concurrent with SF 278 submission online.

- ◆ To start a new SF 278 report click "Add New Report".
- ◆ To work on an existing report select a report from the table below.

My SF 278 Reports

[➔ Add New Report](#)

Year	Reporting Status	Review Status	Last Updated	
<u>2009</u>	Incumbent	Complete Amended 07/07/2009	07/13/2009	View

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.

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there are navigation tabs: 'My Reports', 'My Info', and 'Resources'. Below these is a 'Reports List' section with sub-tabs: 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The 'Comments' tab is selected, displaying the title 'Complete - Holly X. Daye, 2009 Incumbent SF 278 Report'. Underneath, the heading 'Comments' is followed by the note '(listed in reverse chronological order)'. A table lists two comments:

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 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

Below the table is a button labeled 'Add Report Comment'.

Report comments cannot be deleted.

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

Complete - Holly X. Daye, 2009 Incumbent SF 278 Report
Add Comment

Comment on Report (Limit 500 characters)

Date: 07/15/2009 **Author:** Holly X. Daye

I forgot to report that I received a leather briefcase valued at \$500 from my friend Jan Smith.

(405 Characters Remaining of 500)

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

Complete - Holly X. Daye, 2009 Incumbent SF 278 Report

Comments
(listed in reverse chronological order)

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.	<input type="button" value="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.

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there are navigation tabs: 'My Reports', 'My Info', and 'Resources'. A 'Log' link is visible on the right. Below these is a 'Reports List' section with a sub-tab menu containing 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The 'Attachments' sub-tab is selected, displaying the title 'Complete - Holly X. Daye, 2009 Incumbent SF 278 Report' and the sub-section 'Attachments'. Below this is a table with the following data:

Date Attached	Originator	Type	Name	Category	Notes
07/07/2009	Daye, Holly X.	Job Description	FDM JOB DESCRIPTION.doc		

Below the table is an 'Add Attachment' button.

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

The screenshot shows the 'Financial Disclosure Management' web application. At the top, there are navigation tabs: 'My Reports', 'My Info', and 'Resources'. Below these is a 'Reports List' section with sub-tabs: 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main content area is titled 'Complete - Holly X. Daye, 2009 Incumbent SF 278 Report' and includes an 'Add Attachment' link. A box contains instructions: 'Instructions: Use this area to add attachments that should be viewable with the financial disclosure report. Check the appropriate type or use "Other" and describe the attachment. For example: Ethics Counselor advisory on financial interests.' The form fields include: 'Date: 07/15/2009', 'Originator: Daye, Holly X.', and 'Type:' with radio button options: 'Job Description', 'Extension Request', 'Late Fee Waiver Request', 'Late Fee Waiver Result', 'Certificate of Divestiture', 'Ethics Agreement', 'Cautionary Notice [Sample Template](#)', 'Disqualification [Sample Template](#)', 'Memorandum for Record', and 'Other' (selected). The 'Other' option has a text input field containing 'Future Employment Agreement'. Below this is a 'Notes: (optional)' field with a text input containing 'Future Employment Agreement Filer Holly Daye' and a character count '(206 Characters Remaining of 250)'. A note below the field says 'Click "Browse" to select file then click "Upload".' At the bottom, there is a 'Filename:' label, an empty text input, a 'Browse...' button, and two buttons: 'Upload' and 'Cancel'.

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.

L
Financial Disclosure Management

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		

- 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

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

FDM_TRAIN Test System

Financial Disclosure Management

My Reports My Info Resources

Reports List

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

Under Review - Holly X. Daye, 2009 Incumbent SF 278 Report
Review Status

SF 278 Filer [? How Do I...](#)

Report Progress		Due Dates & Extensions	
Assigned:	Yes	Current Due Date:	06/29/2009
Filer Started:	06/24/2009	Report Due Date:	05/15/2009
Filer eSign and Submitted:	07/07/2009	View/Edit Due Date & Extensions	
Amended:	07/07/2009	One or more extensions have been recorded.	
Submitted for Certification:			
Completed:			

Disclosure Report Reviews

Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Training X 278 4	<input checked="" type="checkbox"/>	Individual		
Supervisor SLC	Gladys X Frydey	<input checked="" type="checkbox"/>	Organization		
Senior Legal Counsel	Gladys X Frydey	<input checked="" type="checkbox"/>	Organization		
DAEO	Adam X Baum	<input checked="" type="checkbox"/>	Organization		

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				Form Approved: OMB No. 3209-0001	
		DRAFT REPORT					
Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year)	Reporting Status (Check Appropriate Boxes)	Incumbent <input checked="" type="checkbox"/>	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate <input type="checkbox"/>	Termination Filer <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	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.
01/01/2005			2006				
Reporting Individual's Name	Last Name		First Name and Middle Initial				
	Shoe		Jim				
Position for Which Filing	Title of Position		Department or Agency (if Applicable)				
	PMO, Army		Department of the Army				
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code)				Telephone No. (Include Area Code)		
	Addr1, Addr2, City, AK, 00000-0000, USA				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?			
				<input type="checkbox"/> Yes <input type="checkbox"/> No			
Certification I CERTIFY that the statements I have made on this form and 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)		
Of	(Check box if filing extension granted & indicate number of days 45) <input checked="" type="checkbox"/>				Month, Day, Year		
Co	(Check box if filing extension granted & indicate number of days 45) <input checked="" type="checkbox"/>				Month, Day, Year		
(Check box if comments are continued on the reverse side) <input type="checkbox"/>							
Agency Use Only							
OGE Use Only							

Supersedes Prior Editions, Which Cannot Be Used.

278112

NN7540-01-070-84-44

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**.

The screenshot displays the FDM interface with the following elements:

- Navigation:** My Reports, My Info, Resources
- Section:** Reports List
- Report Title:** Complete - Holly X. Daye, 2009 Incumbent SF 278 Report
- Buttons:** Report Data, Attachments, Comments, Flags, Audit Trail, **View/Print**, Review Status
- Report Content:**
 - SF 278 and Comments of Record
 - Flags
 - All Comments
- Attachments Table:**

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	<input type="button" value="View/Print"/>
07/07/2009	Daye, Holly X.	Job Description	FDM JOB DESCRIPTION.doc			<input type="button" value="View/Print"/>
- Note:** You must have Adobe Reader 6.0 or later installed on your PC to view and print the report. Click to see what version you have.

☞ 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

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

SF 278 (Rev. 01/2020)
 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

BLOCK A Assets and Income	BLOCK B Valuation of Assets at close of reporting period											BLOCK C Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																	
	None (or less than \$1,001)											Type																	
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 <input type="checkbox"/>	\$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 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Trust	Qualified Trust	Dividends	Rent, and Royalties	Interest	Capital Gains	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*	Over \$5,000,000	Other Income Specify Type & Actual Amount	Date (Mo., Day, Yr.) Only if Honoraria	
	Examples																												
Central Airlines Common																													
Das Jansky Smith, Hometown, State																													Law Partnership Income \$10,000
Kempston Equity Fund																													
IMA: Investment 500 Index Fund																													
1 (1) Beach Road, Marco, FL, USA																													
2 (1) Hillcrest Real Estate Associates, Ltd., MI, USA																													
3 (1) United Living Inc., Red Bank, NJ, USA																													
4 (1) United Living Inc., Red Bank, NJ, USA																													
5 Krall Inc., New York, NY, USA																													Business 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.



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.

Financial Disclosure Management

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

Filers Remind Filers Remind Supervisors Review Reports

My Filers

Supervisor [? How Do I...](#)

Org Unit: My Orgs » RC 3 -SELECT-Next Level Down

Show Filers for RC 3
 Show My Filers Include Filers for Org Units assigned to other Supervisors

Filer Search
 Last Name: First Name: Search Clear

Filer Role: OGE 450

1 to 19 of 19 Items per page: 100 1

Notify Assign OGE 450 Report Remove OGE 450 Filer Role Add OGE 450 Filer Add Multiple OGE 450 Filers

Select/Clear All	Name ^	Filer Role	Org Unit	Current Reports	Supervisor	
<input type="checkbox"/>	450_10, Training X	OGE 450 Filer	Baltimore VAMC		Lyons, Dan	View Move
<input type="checkbox"/>	450_18, Training X	OGE 450 Filer	RC 3	2009 New Entrant OGE 450	Lyons, Dan	View Move

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

Financial Disclosure Management

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

Filers Remind Filers Remind Supervisors Review Reports

View Filer - 450_18, Training X

Attribute	Value
Last Name	450_18
First Name	Training
Middle Name	X
e-Mail	training_450_18@us.army.mil
Organization	Office of Regional Counsel (Baltimore-3)
Phone	000-000-0000
Agency	VA
Filer Roles	OGE 450

Filer's Reports Click View.

Started	Assigned	Year	Form Type	Reporting Status	Review Status	Assigning Org Unit	
No	Yes	2009	OGE 450	New Entrant	Not Started	RC 3	View Remove Assignment

Return To My Filers

- 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 **ORC 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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Management Reports | Resources

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Reports - Worklist View Mode OrgUnit View Mode

Search

My Roles: ALL | Form Type: ALL | Year: ALL | Reporting Status: ALL | Review Status: ALL | Action: ALL

Last Name Starts With: [v] | Last Name: Lefte | First Name: Eileen

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										
Yes	Lefte, Eileen X	AMC Training	Jefferson 19. M X	OGE450	2006	Annual	Complete		11/19/2008	View
No	Lefte, Eileen X	AMC Training	Jefferson 19. M X	OGE450	2008	Annual	Under Review	16		View Assign End Review
My Role: Supervisor										
Yes	Lefte, Eileen X	AMC Training	Jefferson 19. M X	OGE450	2006	Annual	Complete		11/19/2008	View
No	Lefte, Eileen X	AMC Training	Jefferson 19. M X	OGE450	2008	Annual	Under Review	16		View Assign eSign

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.

FDM_TRAIN Test System
Financial Disclosure Management

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

Fileers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Status | Notes

Not Started - Eileen X. Lefte, 2008 New Entrant OGE 450 Report
 Review Status

450 Certifier

Report Progress

Assigned: Yes

Filer Started:

Filer eSign and Submitted:

Amended:

Completed:

Due Dates & Extensions

Current Due Date: 12/31/2008
 Report Due Date: 12/31/2008

[View/Edit Due Date & Extensions](#)
 No extensions have been recorded.

Common Questions

- What is the difference between Review Date and Signature Date?
- What is the Amended date and how does it differ from the Submitted Date?
- When should an Additional Reviewer be added?
- Glossary

Click View/Edit Due Date & Extensions

Disclosure Report Reviews

Show Review Chain Controls | Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	M X Jefferson 19	<input type="checkbox"/>	Organization		
Supervisor SLC	Abe X Sovey	<input type="checkbox"/>	Organization		
450 Certifier	M X Jefferson 19	<input type="checkbox"/>	Organization		

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.

- 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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | **Admin** | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Status | Notes

Report Due Date Info Not Started - Eileen X. Lefte, 2008 New Entrant OGE 450 Report

450 Certifier

Year: 2008
Current Due Date: 12/31/2008
Total Extension Days: 0
Due Date: 12 / 31 / 2008 (mm/dd/yyyy)
 Override Due Date Reason: (Limit 256 characters)

Admin Due Date: / / (mm/dd/yyyy)

Record Extension

Type	Number of Days	Reason
There are no extension for this activity.		

Click Record Extension

Save Cancel Audit Trail

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**.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Status | Notes

Report Due Date Info Not Started - L X. Hamilton_4, 2009 Annual OGE 450 Report

450 Certifier

Year: 2009
Current Due Date: 06/29/2009
Total Extension Days: 45
Due Date: 02 / 17 / 2009 (mm/dd/yyyy)
 Override Due Date **Reason:** (Limit 256 characters)
 (256 Characters Remaining of 256)
Admin Due Date: 02 / 17 / 2009 (mm/dd/yyyy)

Record Extension

Create Date	Type	Length of Extension Days	Reason	Edit	Delete
07/08/2009	Agency Extension	45	Long period of official travel	Edit	Delete

Save Cancel Audit Trail

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

FDM_TRAIN Test System
Financial Disclosure Management

My Info | **My Reviews** | **Admin** | **Ethics Training** | **Management Reports** | **Resources** | **Log Out**

Filers | **Remind Filers** | **Remind Supervisors** | **Review Reports** | **Manage Exceptions**

Review Status | **Notes**

Edit Extension

Create Date: 07/08/2009

Length of Extension: (Days)

When recording a National Emergency/Combat Zone (NECZ) extension, enter a number (up to 90 days). This number will be used to calculate the NECZ extension duration and due date once the Filer's last day in the NECZ has been entered.

Agency Extension

Reason for extension:

Other Reason: (Limit 256 characters)

(256 Characters Remaining of 256)

National Emergency/Combat Zone (See 5 CFR 2634.908(d))

Filer's Last Day is Unknown

Filer's Last Day is Known Last Day: / / (mm/dd/yyyy)

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**.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Files | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Status | Notes

Report Due Date Info Not Started - L X. Hamilton_4, 2009 Annual OGE 450 Report

450 Certifier

Year: 2009
 Current Due Date: 06/29/2009
 Total Extension Days: 45
 Due Date: Override D

Windows Internet Explorer
 Are you sure, you want to delete this extension?
 OK Cancel

(256 Characters Remaining of 256)

Admin Due Date: / / (mm/dd/yyyy)

Record Extension

Create Date	Type	Length of Extension Days	Reason	Edit	Delete
07/08/2009	Agency Extension	45	Long period of official travel	<input type="button" value="Edit"/>	<input type="button" value="Delete"/>

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

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**.

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there is a navigation bar with tabs for 'My Reports', 'My Info', 'Review Reports', 'Admin', 'Management Reports', and 'Resources'. Below this is a secondary navigation bar with options like 'Reports List', 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', and 'Previous Reports'. The main content area is titled 'Draft - Forrest Ranger, 2007 Incumbent SF 278 Report' and 'Review Status'. It features two summary boxes: 'Report Progress' and 'Due Dates & Extensions'. The 'Report Progress' box shows 'Created: 06/13/2008' and 'Filer eSign and Submitted:'. The 'Due Dates & Extensions' box shows 'Current Due Date: 06/29/2007' and 'Disclosure Due Date: 05/15/2007'. A 'View/Record Extension' button is present in the second box. Below these is a 'Complete w/o Signature' button. On the right side, there is a 'Common Questions' sidebar with several FAQ items. At the bottom, there is a 'Disclosure Report Reviews' table with columns for 'Reviewer Role', 'Currently Assigned Reviewer', 'Notify', 'Reviewer Type', 'End Reviews', and 'eSigned/Signatures'.

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Training X Super_1	<input checked="" type="checkbox"/>	Organization		
Supervisor SLC	Anne Teak	<input checked="" type="checkbox"/>	Organization		
Senior Legal Counsel	Anne Teak	<input checked="" type="checkbox"/>	Individual		
DAEO	Paige Turner	<input checked="" type="checkbox"/>	Organization		

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.

Audit Trail				
	Date	Role	Name	Event
1	04/23/2007 14:47	Reviewer	Slc_450_1, Training X.	Extension Granted
2	04/19/2007 15:56	Reviewer	Slc_450_1, Training X.	Extension Granted
3	04/09/2007 11:38	Filer	450_28, Training X.	Created Report

Review Status	
Report Progress	Created: 4/9/2007 Submitted: Amended: Completed: by:
Signoff Progress	Filer: eSigned by: Supervisor: eSigned by: Reviewer: eSigned by:
Extensions	Extension Type: Combat Zone Extension Number of Days: 45 New Due Date: 5/16/2007

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

Signature of Other Reviewer	Date (Month, Day, Year)	year up to as of any da 31 days of
Signature of Designated Agency Ethics Official/Reviewing Official	Date (Month, Day, Year)	
Signature	Date (Month, Day, Year)	
s (If additional space is required, use the reverse side of this sheet)		Schedul Schedul reporting p year and th any date yo of the date
(Check box if filing extension granted & indicate number of days <u>45</u>)		<input checked="" type="checkbox"/>
(Check box if comments are continued on the reverse side)		<input type="checkbox"/>

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.

Remind OGE 450 Filers

450 Certifier: [Change]

Find Filers

Org Unit: My Orgs > RC 3 > Baltimore VAMC [-SELECT-Next Level Down]

Show Filer's Reports for Baltimore VAMC
 Show My Filers Include Filers for Org Units assigned to other 450 Certifiers

Find:

OGE 450 Annual Filers who need an Initial Notification to file
 All OGE 450 Filers who have not started their Report
 All OGE 450 Filers who have not submitted their Report
 All OGE 450 Filers who are late

Search

Confirm Filers

1 to 5 of 5 Items per page: 100 1

Unselect any Filer to Exclude	Filer	Filer's e-mail	Report Year	Reporting Status	Supervisor	Supervisor's e-mail
Organization: RC 3 POCs Ross 28, B X Ross 29, B X						
<input checked="" type="checkbox"/>	Chopes, Buster X	training_450_6@us.army.mil	2008	Annual	Pickney, E	e_pickney@us.army.mil
<input checked="" type="checkbox"/>	Dings, Bill X	training_450_8@us.army.mil	2008	Annual	Pickney, E	e_pickney@us.army.mil
<input checked="" type="checkbox"/>	Freyday, Gladys X	training_450_7@us.army.mil	2008	Annual	Pickney, E	e_pickney@us.army.mil
<input checked="" type="checkbox"/>	Kane, Candie X	training_450_9@us.army.mil	2008	Annual	Pickney, E	e_pickney@us.army.mil
<input checked="" type="checkbox"/>	Vader, Ella X	training_450_10@us.army.mil	2008	Annual	Pickney, E	e_pickney@us.army.mil

Notify

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.

Financial Disclosure Management

My Info
My Reviews
Admin
Management Reports
Resources
Log Out

Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

Confirm Reminder to OGE 450 Annual Filers who need an Initial Notification to File

Send an e-mail to 4 Filers

From: b_ross_3@us.army.mil
Subject: FDM Notification - Your 2008 Annual OGE 450 Report is due [Current Due Date]
Message: Dear [Filer Firstname Middle Lastname]:

The 2008 Annual OGE 450 Report filing season has begun. You are registered in Financial Disclosure Management (FDM) - URL: <https://158.9.48.244>, as an OGE 450, Confidential Financial Disclosure Report Filer. Your 2008 Annual OGE 450 Report is due [Current Due Date].

1. Log in to FDM - URL: <https://158.9.48.244>.
2. Click the My Reports tab.
3. Click the Reports Not Started tab.
4. Click the Start this Report button beside the 2008 Annual OGE 450 Report.
5. FDM will guide you in entering your information.
6. When your report is complete, click the e-Sign button to sign and submit your report.

Please consult your legal advisor or me, 450 Certifier - B X. Ross_3, b_ross_3@us.army.mil, 000-000-0000, if you have questions about this requirement to file a Financial Disclosure Report, or need an extension. Also, consult your legal advisor or me if you do not think you should file such a report.

For further assistance, contact the FDM Service Center at 732-222-1234 or 732-222-5678. Additional information can be found on the Help & Support page at: <http://fdmhelpurl.mil>. E-mail: <mailto:fdm.help@us.af.mil>

Add your optional text here:

Closing: Regards
B X. Ross_3

Send a summarized e-mail to 2 POCs

From: b_ross_3@us.army.mil
Subject: FDM - Your Filers have been notified to file
Message: Dear [POC Firstname Middle Lastname]:

FDM sent the Filer(s) in the Org Unit(s) you support an initial notification notice to file a 2008 Annual OGE 450 Report in FDM. The Filers and their respective Supervisors, grouped by your assigned Organizations, are listed below. Please review the listing and update in FDM - URL: <https://158.9.48.244> as necessary.

- 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.

Financial Disclosure Management

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

Remind Filers | **Remind Supervisors** | Review Reports | Manage Exceptions

Remind Supervisors who have not eSigned 450 Reports

450 Certifier: RC 3 [Change] [How Do I...]

Find Supervisors who have not eSigned

Org Unit: My Orgs > RC 3 [-SELECT-Next Level Down]

Show Filer's Reports for RC 3

Show My Supervisors Include Supervisors for Org Units assigned to other 450 Certifiers

[Search]

Confirm Supervisors [Printer Friendly]

1 to 4 of 4 Items per page: 100 1

Unselect any Supervisor to Exclude	Supervisor	Supervisor's Org Unit	Supervisor's e-mail	Filer	Report Year	Reporting Status
Organization: RC 3 POCs Ross 28, B X Ross 29, B X						
<input checked="" type="checkbox"/>	Lyons, Dan	RC 3	a_adams_7@us.army.mil	O'Drille, Ben X	2008	Annual
<input checked="" type="checkbox"/>	Pickney, E	RC 3	e_pickney@us.army.mil	Chopes, Buster X	2008	Annual
<input type="checkbox"/>				Dinge, Bill X	2008	Annual
<input type="checkbox"/>				Freyday, Gladys X	2008	Annual

[Notify]

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.

Log Out
Financial Disclosure Management

My Info
My Reviews
Admin
Management Reports
Resources

Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

Confirm Reminder to Supervisors who have not eSigned OGE 450 Reports

Send a summarized e-mail to 2 POCs

From: b_ross_3@us.army.mil
Subject: FDM - Supervisors you support have been reminded to eSign in FDM
Message: Dear [POC Firstname Middle Lastname] :

FDM notified these Supervisors in the Org Units you support to eSign OGE 450 Reports previously submitted by their Filers in FDM. The Supervisors and their lists of outstanding reports, grouped by your assigned Organizations, are listed below. Log into FDM - URL: <https://158.9.48.244> at any time to track their eSigning progress.

[POC's Organization Name 1]
Supervisor: [Supervisor1 Lastname, Firstname Middle]
[Filer1 Lastname, Firstname Middle] - [Report Year] [Reporting Status] OGE 450 Report
[Filer2 Lastname, Firstname Middle] - [Report Year] [Reporting Status] OGE 450 Report
Supervisor: [Supervisor2 Lastname, Firstname Middle]
[Filer1 Lastname, Firstname Middle] - [Report Year] [Reporting Status] OGE 450 Report
[Filer2 Lastname, Firstname Middle] - [Report Year] [Reporting Status] OGE 450 Report

[POC's Organization Name 2]
Supervisor: [Supervisor1 Lastname, Firstname Middle]
[Filer1 Lastname, Firstname Middle] - [Report Year] [Reporting Status] OGE 450 Report
[Filer2 Lastname, Firstname Middle] - [Report Year] [Reporting Status] OGE 450 Report

For further assistance, contact the FDM Service Center at 732-532-5666. Additional information can be found on the Help & Support page at: <https://www.fdm.army.mil/helpSupport/helpSupport.htm>.
E-mail: <mailto:MONM-SECFDMSpt@conus.army.mil>

Add your optional text here:

Closing: Regards
B X. Ross_3

Send a summarized e-mail to 2 Supervisors

From: b_ross_3@us.army.mil
Subject: FDM Alert - Please eSign OGE 450 Reports submitted by your Filers
Message: Dear [Supervisor Firstname Middle Lastname] :

Filers in the Org Units you supervise have eSigned and submitted their OGE 450 Reports in FDM. They are ready for your eSignature. To review:

1. Log in to FDM - URL: <https://158.9.48.244>.
2. Click the My Reviews tab.

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.



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:

- ⌘ 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.

- ◆ 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.

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.

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.

 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.

List Disclosures that you need to eSign

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Management Reports | Resources
 Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Reports - Worklist View Mode OrgUnit View Mode

Search

My Roles: ALL | Form Type: OGE 450 | Year: ALL | Reporting Status: ALL | Review Status: ALL | Action: ALL

Last Name Starts With: | Last Name: | First Name: | Search | Reset

Printer Friendly

1 to 3 of 3 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										
Yes	Bago, Winnie X	Baltimore RO	Lyons, Dan D	OGE450	2007	New Entrant	Under Review	28		View Remove Assignment End Review eSign & Complete
Yes	Coone, Ty X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Under Review	5		View Remove Assignment End Review
Yes	Romeo, Alf X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Under Review	0		View Remove Assignment End Review

1 to 3 of 3 Items per page: 100 1

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

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.

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 on the **OrgUnit View Mode** link.

Review Reports - Org Unit View Mode

FILER: **450 Certifier** [Change](#) [Work List View Mode](#)

Org Unit: My Orgs > **RC 3** [-SELECT-Next Level Down](#)

Show Filer's Reports for **RC 3**

Show **My** Filer's Reports Include Filer's Reports for Org Units assigned to other 450 Certifiers

Search

Form Type: **Year:** **Reporting Status:** **Review Status:**

OGE 450 **ALL** **ALL** **ALL**

Last Name Starts With: **Last Name:** **First Name:**

1 to 6 of 6 Items per page: 100 [Printer-Friendly](#)


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.
 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.
- ☞ 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..

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.

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.

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.

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.

The screenshot shows the 'Financial Disclosure Management' web application. The top navigation bar includes links for 'My Reports', 'Assist Filers', 'My Info', 'My Reviews', 'Admin', 'Management Reports', 'Resources', and 'Log Out'. Below this is a secondary navigation bar with 'Remind Filers', 'Remind Supervisors', and 'Review Reports'. The main content area is titled 'Under Review - Ben X. O'Drille, 2008 Annual OGE 450 Report'. A prominent yellow banner with the text 'Yellow Flags' is displayed. Below the banner is a table with the following content:

Contact Information
♦ The address line 1 of the home address was not provided.
♦ The city of the home address was not provided.
♦ The country of home address was not provided.

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	<input type="checkbox"/>
	Microsoft Inc. (NYSE)	Stock, bond, option or security	None	<input type="checkbox"/>
	Beach Rental, Ocean City, MD, USA	Real Estate	Joint	<input type="checkbox"/>

- ☞ Transactions, Gifts and Compensations are not compared from the prepopulated report to the current report.
- Review the report changes.
 - 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.

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
eSign Report

[View this report](#)

Step 1: By eSigning...

By eSigning this report, you are confirming that you have reviewed this report and there is no apparent conflict of interest. If there is a conflict of interest it must be resolved prior to eSigning this report.

In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability solely because it is in electronic form. I hereby consent to the use of eSignature.

I understand that my eSignature is applied to the information that I have provided and not the presentation formatting of the information on the screen or printed page.

Step 2: eSign your report

[View this report](#)

Common Questions

- What is the FDM e450?
- Are there any penalties for an incomplete or false report?
- How do I review my report's flags?
- Glossary

- 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.
- 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**.

The screenshot displays the Financial Disclosure Management (FDM) web application interface. At the top, there is a navigation menu with tabs for 'My Reports', 'Assist Filers', 'My Info', 'My Reviews', 'Admin', 'Management Reports', and 'Resources'. A 'Log Out' link is located on the far right. Below this, there are sub-menus for 'Remind Filers', 'Remind Supervisors', and 'Review Reports'. The 'Review Reports' sub-menu is expanded, showing options: 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Compare', and 'Previous Reports'. The 'View/Print' option is highlighted. The main content area shows the title 'Under Review - Ben X. O'Drille, 2008 New Entrant OGE 450 Report' and a 'View/Print' link. Below this, there are sections for 'FDM e450 Report' with a 'View/Print' button, and 'Attachments' with the text 'No Attachments were Found'. On the right side, there is a 'Common Questions' sidebar with a list of questions: 'What is the FDM e450?', 'How do I adjust the appearance of a Web Page when it prints?', and 'Glossary'.

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

☞ The OGE 450 displays as a single web page.

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

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: <input checked="" type="checkbox"/> 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.

The screenshot displays the 'Financial Disclosure Management' web application. The main navigation bar includes 'My Reports', 'Assist Filers', 'My Info', 'My Reviews', 'Admin', 'Management Reports', and 'Resources'. Below this, there are sub-navigation tabs for 'Remind Filers', 'Remind Supervisors', and 'Review Reports'. The current report is titled 'Under Review - Ben X. O'Drille, 2008 New Entrant OGE 450 Report'. The 'Assets' tab is selected, showing a table of assets and investment income. The table has columns for 'Asset Name', 'Type of Asset', 'Owner', and 'No Longer Held'. Each row includes 'View Asset' and 'Add Comment' buttons. A 'Common Questions' sidebar is visible on the right, providing guidance on reporting requirements.

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.

Asset Name	Type of Asset	Owner	No Longer Held
Beach Rental, Ocean City, MD, USA	Real Estate	Joint	
Durkin & Lowe LLC	Private Equity LLC	Spouse	
Exxon Mobil (NYSE)	Stock, bond, option or security	Self	
Kroll Inc., Kroll Inc.	Pension Plan (Employer Name)	Spouse	
Met Life Insurance Policy	Life Insurance (not term)	Self	
Microsoft Inc. (NYSE)	Stock, bond, option or security		
Yahoo Inc.(NYSE)	Stock, bond, option or security	Self	

Common Questions

- What are some common mistakes I should avoid?
- Do I have to report all assets that I owned during the reporting period and all investment income earned during this period?
- I owned stock in a company this year, but I sold it before the end of the year. When I sold it, the stock was worth \$2,000, and it earned \$500 in capital gains. Because I no longer own it, do I still have to report the name of the company on the OGE Form 450?
- Do I have to report the value of the assets I report on the form or the amount of income that I or my spouse earns?
- Do I have to report IRAs?
- I have only diversified mutual funds in my IRA. Do I have to report the IRA?
- I have a 401(k) with my former employer.

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

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
Under Review - Ben X. O'Drille, 2008 New Entrant OGE 450 Report							
Getting Started	Non-Investment Income	Assets	Liabilities	Outside Positions	Agreements	Wrap Up	
View Asset and Investment Income							
<p>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.</p>							
<p>Asset Name:</p> <input type="text" value="Met Life Insurance Policy"/>		<p>Asset Owner: (optional)</p> <input checked="" type="checkbox"/> Self <input type="checkbox"/> Joint <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child				<p>Common Questions:</p> <ul style="list-style-type: none"> • What are the instructions for this section? • What are some common mistakes I should avoid? • Do I have to report all assets that I owned during the reporting period and all investment income earned during this period? • I owned stock in a company this year, but I sold it before the end of the year. When I sold it, the stock was worth \$2,000, and it earned \$500 in capital gains. Because I no longer own it, do I still have to report the name of the company on the OGE Form 450? • Do I have to report the value of the assets I report on the form or the amount of income that I or my spouse earns? • Do I have to report IRAs? • I have only diversified mutual funds in my IRA. Do I have to report the IRA? • I have a 401(k) with my former employer. Am I required to report the 401(k) on the form? If so, how do I 	
<p>Asset Type:</p> <input type="radio"/> Stock, bond, option or security <input type="radio"/> Sector mutual fund <input type="radio"/> Real Estate City: <input type="text"/> State: <input type="text" value="-SELECT-"/> Country: <input type="text" value="-SELECT-"/> <input type="radio"/> Privately held trade or business Description: <input type="text"/> <input checked="" type="radio"/> Life Insurance (not term) <input type="radio"/> Annuity <input type="radio"/> Retirement Plan or Account (e.g., 401(k), IRA) <input type="radio"/> Pension Plan (Employer Name) Employer Name: <input type="text"/> <input type="radio"/> Trust <input type="radio"/> Other (Partnership, LLC, S Corp, etc.) Describe: <input type="text"/>		<p>Were you still holding this asset?</p> <input checked="" type="radio"/> Yes <input type="radio"/> No					
<input type="button" value="Back"/>							

- 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.

FDM_TRAIN Test System
Financial Disclosure Management

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 - Cherri X. Lolar, 2008 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | Gifts, etc | Liabilities | Agreements | Positions | Wrap Up

Agreements or Arrangements

Instructions: For yourself only, report any agreements or arrangements for (1) future employment; (2) a leave of absence during your period of Government Service; (3) continuation of payment by a former employer (including severance payments) other than from the U.S. Government; and, (4) continuing participation in an employee benefit or welfare plan maintained by a former employer other than U.S. Government retirement benefits. No report is required regarding any agreement or arrangement entered into by a spouse or dependent child.

Reporting Period: From 01/01/2007 through your filing date.

Parties	Type of Agreement	Status and Terms	Date	
Kroll Inc., New York, NY, USA	Continuing participation in Employee Benefit Plan	Continuing participation in employer's stock option plan for next 4 years.	10/2005	View Add Comment

◀ Back | Continue ▶

Common Questions

- ◆ What are examples of reportable agreements or arrangements?
- ◆ Do I need to disclose severance agreements?
- ◆ Do I need to disclose any arrangements or agreements with a future employer?
- ◆ Do I need to disclose my participation in a United States Government benefit plan?
- ◆ What is my Filing Date?
- ◆ Country Code Reference
- ◆ Glossary

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

2. Click **Add Comment** beside the appropriate line item in the Report Data. The Add Comment 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
Previous Reports

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

Add Comment

Agreement

Parties	Type of Agreement or Arrangement	Terms of Agreement or Arrangement	Date
Kroll Inc., New York, NY, USA	Continuation of payments by former employer (including severance payments)	Continuing participation in employer's severance plan for next 36 months.	

Comment on: Agreement (Limit 500 characters)

Date: 10/03/2008 **Author:** Dan D. Lyons

OGE 450 of Record: (Include as part of OGE 450 of Record)

You must also report your severance information as receivable in the Other Income section of your report.

Common Questions

- What is the OGE 450 of Record?
- When should a comment be part of the OGE 450 of Record?
- Glossary

Save
Cancel

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

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

The screenshot shows the 'Financial Disclosure Management' interface. The main title is 'Financial Disclosure Management'. Below it are several navigation tabs: 'My Reports', 'Assist Filers', 'My Info', 'My Reviews', 'Admin', 'Management Reports', and 'Resources'. A 'Log Out' link is in the top right. Below these are more specific tabs: 'Remind Filers', 'Remind Supervisors', and 'Review Reports'. The current page is 'Comments', which is highlighted. Other tabs include 'Report Data', 'Attachments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', and 'Previous Reports'.

The main content area is titled 'Under Review - Ben X. O'Drille, 2008 Annual OGE 450 Report' and 'Comments'. Below this, it says '(listed in reverse chronological order)'. A table displays the following comment:

Author	Author Role	Date	Comment On	Line Item	Category	Comment Text
Lyons, Dan D.	Reviewer	10/03/2008	Agreement	Kroll Inc.		You must also report your severance information as receivable in the Other Income section of your report.

To the right of the table are two buttons: 'View Agreement' and 'Edit Comment'. On the far right, there is a 'Common Questions' sidebar with the following items:

- What is the difference between a comment on a Report and a comment on a line item?
- What is the OGE 450 of Record?
- Glossary

At the bottom of the page, there is a button labeled 'Add Report Comment'.

- Click **Add Report Comment**. The Add Comment 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 Previous Reports

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

Edit Comment

Comment on: Report (Limit 500 characters)

Date: 10/03/2008 **Author:** Dan D. Lyons

OGE 450 of Record: (Include as part of OGE 450 of Record)

There are a number of technical errors and substantial discrepancies on your financial disclosure report. Without full disclosure, I cannot analyze your report for potential conflicts of interest. Please repositnd to these errors and discrepancies. If the issues are unclear please call me at xxx-xxx-xxxx. I cannot certify your report until all issues are addressed.

Save
Cancel

Common Questions

- What is the OGE 450 of Record?
- When should a comment be part of the OGE 450 of Record?
- Glossary

3. Type your comment and then click **Save**. The Comments 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 Previous Reports

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

Comments

(listed in reverse chronological order)

Author	Author Role	Date	Comment On	Line Item	Category	Comment Text	
Lyons, Dan D.	Reviewer	10/03/2008	Report			There are a number of technical errors and substantial discrepancies on your financial disclosure report. Without full disclosure, I cannot analyze your report for potential conflicts of interest. Please repositnd to these errors and discrepancies. If the issues are unclear please call me at xxx-xxx-xxxx. I cannot certify your report until all issues are addressed.	Edit Comment
Lyons, Dan D.	Reviewer	10/03/2008	Agreement	Kroll Inc.		You must also report your severance information as receivable in the Other Income section of your report.	View Agreement Edit Comment

Add Report Comment

Common Questions

- What is the difference between a comment on a Report and a comment on a line item?
- What is the OGE 450 of Record?
- Glossary

Notes

- These “Reviewer” notes do not appear on the Filer’s report.

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.

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

- Select the Notes tab.

The screenshot displays the 'Financial Disclosure Management' web application. The top navigation bar includes tabs for 'My Info', 'My Reviews', 'Admin', 'Management Reports', and 'Resources'. Below this, a secondary navigation bar contains 'Remind Filers', 'Remind Supervisors', 'Review Reports', and 'Manage Exceptions'. The main content area is titled 'Not Started - Ty X. Coone, 2008 Annual OGE 450 Report' and has a 'Notes' tab selected. Below the title are three buttons: 'Start/Add More Notes', 'Cancel Changes', and 'Save'. An 'Instructions' box states: 'Use this page to make notes for follow-up action or other use as you review this report.' The 'Notes' section has a character limit of 10,000. A text area contains a note: '9/23/2008 by Ross_3, B X. - Filer listed an asset: "Schwab IRA" without reporting its underlying holdings. Asked Filer to amend and add the underlying holdings using Schwab IRA - underlying holding name. Explained Filer should not report diversified mutual funds held in their Schwab IRA.' At the bottom, it shows '9972 Characters Remaining of 10000' and buttons for 'Back', 'Close Notes', and 'Delete Notes'.

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

The screenshot displays the 'Financial Disclosure Management' web application. The top navigation bar includes links for 'My Reports', 'Assist Filers', 'My Info', 'My Reviews', 'Admin', 'Management Reports', 'Resources', and 'Log Out'. Below this, there are sections for 'Remind Filers', 'Remind Supervisors', and 'Review Reports'. The main content area is titled 'Under Review - Ben X. O'Drille, 2008 Annual OGE 450 Report' and features a breadcrumb trail: 'Getting Started' > 'Non-Investment Income' > 'Assets' > 'Liabilities' > 'Outside Positions' > 'Agreements' > 'Gifts' > 'Wrap Up'. The 'Wrap Up' section is titled 'Reviewer's Wrap Up' and contains the following text: 'This report is under review. The next steps to finish the review of this report are:' followed by a list of instructions: 'Click "Continue" to proceed to the report's Review Status.', 'Complete your review.', 'eSign the report if you are a designated signer.', and 'Notify any subsequent reviewers.'. At the bottom of this section are two buttons: 'Back' and 'Continue'. On the right side, there is a 'Common Questions' sidebar with two items: 'What am I determining when reviewing a Filer's financial disclosure report?' and 'Glossary'.

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

FDM TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

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

Under Review - Raine X. Storm, 2010 Annual OGE 450 Report
 Review Status

450 Certifier [?] How Do I...

Report Progress

Assigned:	No	<input type="button" value="Assign"/>
Filer Started:	10/04/2010	
Filer eSign and Submitted:	10/04/2010	
Amended:		
Completed:		

Due Date & Extensions

Current Due Date: 02/16/2010

No extensions have been recorded.

Common Questions

- What is the difference between Review Date and Signature Date?
- What is the Amended date and how does it differ from the Submitted Date?
- When should an Additional Reviewer be added?
- Glossary

Disclosure Report Reviews

Reviewer Role	Currently Assigned	Notify	Reviewer Type	End Initial Review Dates	eSigned/Signatures
---------------	--------------------	--------	---------------	--------------------------	--------------------

- 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 an 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 Exceptions 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.

E SIGNING 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.

The screenshot shows the 'Financial Disclosure Management' interface. The main header includes navigation tabs: My Reports, Assist Filers, My Info, My Reviews, Admin, Management Reports, Resources, and Log Out. Below this is a sub-header for 'Review Reports' with tabs for Report Data, Attachments, Comments, Flags, Audit Trail, View/Print, Review Status, and Previous Reports. The main content area is titled 'Under Review - Ben X. O'Drille, 2008 Annual OGE 450 Report eSign Report'. It contains a 'View this report' link, a 'Step 1: By eSigning...' section with a paragraph of text explaining the legal implications of eSignatures, and a 'Step 2: eSign your report' section with another 'View this report' link and an 'eSign' button. A 'Common Questions' sidebar on the right lists topics like 'What is the FDM e450?', 'Are there any penalties for an incomplete or false report?', 'How do I review my report's flags?', and 'Glossary'. A 'Back' button is located at the bottom left of the page.

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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | Review Reports | Admin | Resources | Management Reports

Reports List

Review Reports - Worklist View Mode

OrgUnit View Mode

Search

My Roles: 450 Certifier | Form Type: OGE 450 | Year: ALL | Reporting Status: ALL | Review Status: Under Review | Action: ALL

Last Name Starts With: | Last Name: | First Name: | Search | Reset

Printer-Friendly | Take Survey

1 to 5 of 5 | Items per page: 100 | 1

Filer▲	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Submitted	My Review/Signature Date	
My Role: 450 Certifier									
Baggio, Winnie	Baltimore RO	Lyons, Dan D	OGE450	2007	Annual	Under Review	05/14/2008		View End Review eSign & Complete
Beache, Sandy	Baltimore RO	Lyons, Dan D	OGE450	2007	Annual	Under Review Amended 05/14/2008	05/14/2008		View End Review eSign & Complete
Coone, Ty X	Baltimore RO	Lyons, Dan D	OGE450	2008	New Entrant	Under Review	05/14/2008		View End Review
Romeo, Alf A	Baltimore RO	Lyons, Dan D	OGE450	2006	Annual	Under Review	05/14/2008		View End Review

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

FDM_TRAIN Test System
Financial Disclosure Management

My Reports Assist Filers My Info My Reviews Admin Management Reports Resources

Remind Filers Remind Supervisors Review Reports

Review Reports - Worklist View Mode

OrqUnit View Mode

Search

My Roles: Supervisor Form Type: ALL Year: ALL Reporting Status: ALL Review Status: ALL Action: eSign

Last Name Starts With: Last Name: First Name:

Search Reset

Printer-Friendly

1 to 1 of 1 Items per page: 100 1

Assigned	Filer	Orq Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days in Review	My Review/Signature Date	
My Role: Supervisor										
No	O'Drille, Ben X	Baltimore RO	Lyons, Dan D	OGE450	2008	Annual	Under Review Amended 10/03/2008	0	10/03/2008	View Assign eSign End Review

1 to 1 of 1 Items per page: 100 1

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

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.

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.

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 were made by the Filer. Review the Report's Events to verify if your recommended changes were made by the Filer.

3. Click **Audit Trail**. The Audit Trail 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 Previous Reports

Under Review - Ben X. O'Drille, 2008 Annual OGE 450 Report
Audit Trail

(listed in reverse chronological order)

Date	Role	Name	Event	
10/03/2008 14:08	Filer	O'Drille, Ben X.	E-Signed	
10/03/2008 14:08	Filer	O'Drille, Ben X.	Recertified Report	
10/03/2008 14:06	Filer	O'Drille, Ben X.	Added Income	View Event
10/03/2008 14:06	Filer	O'Drille, Ben X.	Amended Report	
10/03/2008 14:06	Reviewer	Lyons, Dan D.	Ended Review	
10/03/2008 13:50	Reviewer	Lyons, Dan D.	Added Comment	View Event
10/03/2008 13:48	Reviewer	Lyons, Dan D.	Added Comment	View Event
10/03/2008 13:42	Filer	O'Drille, Ben X.	E-Signed	
10/03/2008 13:42	Filer	O'Drille, Ben X.	Submitted Report	
10/03/2008 13:29	Filer	O'Drille, Ben X.	Created Report	

Common Questions

- Glossary

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

4. Review the Report's Events to verify if your recommended changes were 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.

FDM_TRAIN Test System
Financial Disclosure Management

My Reports | My Info | Review Reports | Admin | Resources | Management Reports | Log Out

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

Under Review - Sandy Beache, 2007 Annual OGE 450 Report
 Review Status

Supervisor [How Do I...](#)

Report Progress

Created:	05/14/2008	Disclosure Due Date	02/15/2007
Filer eSign and Submitted:	05/14/2008		No extensions have been recorded.
Amended:	05/15/2008		
Completed:			

[eSign](#) [End Review](#)

Disclosure Report Reviews

[Show Review Chain Controls](#)

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Dan D Lyons	<input checked="" type="checkbox"/>	Organization	05/15/2008 Lyons, Dan B. Supervisor	
Supervisor SLC	B X Ross 4	<input checked="" type="checkbox"/>	Organization		
450 Certifier	B X Ross 3	<input checked="" type="checkbox"/>	Organization		

Common Questions

- What is the difference between Review Date and Signature Date?
- What is the Amended date and how does it differ from the Submitted Date?
- Glossary

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 repopulate.
- ◆ 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.

Financial Disclosure Management

My Info My Reviews Admin Ethics Training Management Reports Resources Log Out

Filers Remind Filers Remind Supervisors Review Reports Manage Exceptions

Reports that Need Special Action

Search

My Roles: 450 Certifier Year: 2009 Search Reset

Printer-Friendly

1 to 49 of 49 Items per page: 100 1

Assigned	Filer	Org Unit	Supervisor	POC(s)	Year	Reporting Status	Exception Reason	Days in Review	Notes Description (partial)	
My Role: 450 Certifier										
Yes	Hamilton 3, LX	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	Filer not eSigned			View Remove Assignment
Yes	Hamilton 4, LX	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	Filer not Started			View Remove Assignment
Yes	Hamilton 5, LX	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	Filer not Started			View Remove Assignment
Yes	Hamilton 6, LX	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	Filer not Started			View Remove Assignment
Yes	Hamilton 7, LX	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	Filer not Started			View Remove

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.

Financial Disclosure Management

My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources

Files
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

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

Under Review - L X. Hamilton_3, 2009 Annual OGE 450 Report

Review Status

FILED
450 Certifier

? How Do I...

Report Progress

Assigned: Yes

Filer Started: 07/01/2009

Filer eSign and Submitted:

Amended: Amendment in progress

Completed:

Due Dates & Extensions

Current Due Date: 02/17/2009

Report Due Date: 02/17/2009

No extensions have been recorded.

Disclosure Report Reviews

Show Review Chain Controls
Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Winnie X Bago	✉	Organization		
Supervisor SLC	Gladys X Frydey	✉	Organization		
450 Certifier Ethics Counselor	Bob X Sledd Baum, Adam X.	✉	Organization		

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.

The screenshot displays the 'Financial Disclosure Management' application interface. The top navigation bar includes tabs for 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this, a secondary navigation bar contains 'Filers', 'Remind Filers', 'Remind Supervisors', 'Review Reports', and 'Manage Exceptions'. A third navigation bar lists 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Previous Reports', and 'Notes'. The main content area is titled 'Under Review - L X. Hamilton_3, 2009 Annual OGE 450 Report' and includes a sub-header 'Confirm Administratively Closing this Report'. The text prompts the user to 'Please provide a reason for administratively closing this report.' and labels the input field as 'Reason: (Limit 500 characters)'. The text area contains the text 'Report Administratively Closed: Filer has retired.' and shows '(449 Characters Remaining of 500)'. At the bottom, there are 'Confirm' and 'Cancel' buttons.

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:**

1 to 5 of 5											1
Items per page: 100											
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.

The screenshot displays the 'FDM_TRAIN Test System' interface for 'Financial Disclosure Management'. The top navigation bar includes 'My Reports', 'My Info', and 'Resources', with a 'Log Out' link on the right. Below this, there are tabs for 'Reports Not Started' and 'Reports List'. A secondary navigation bar contains 'Report Data', 'Attachments', 'Comments' (which is selected), 'Flags', 'Audit Trail', 'View/Print', and 'Review Status'. The main content area is titled 'Complete - Winnie X. Bago, 2006 Annual OGE 450 Report' and 'Comments'. A large text box in the center contains the message 'This report has no Comments.' Below this box is a button labeled 'Add Report Comment'. On the right side, there is a 'Common Questions' sidebar with three bullet points: 'What is the difference between a comment on a Report and a comment on a line item?', 'What is the OGE 450 of Record?', and 'Glossary'.

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

FDM_TRAIN Test System
Financial Disclosure Management

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

Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
 Add Comment

Comment on: Report (Limit 500 characters)

Date: 09/17/2008 Author: B X. Ross_3
 OGE 450 of Record: (Include as part of OGE 450 of Record)

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 as long as she took no action on

Save Cancel

Common Questions

- What is the OGE 450 of Record?
- When should a comment be part of the OGE 450 of Record?
- Glossary

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

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

FDM_TRAIN Test System
Financial Disclosure Management

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

Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
 Comments

(listed in reverse chronological order)

Author	Author Role	Date	Comment On	Line Item	Category	Comment Text
Ross_3, B X.	Reviewer	02/26/2008	Report		Supplemental	Filer alerted me that she had received a previously unreported gift, a leather briefcase valued at \$350.00 Edit Comment

Add Report Comment

Common Questions

- What is the difference between a comment on a Report and a comment on a line item?
- What is the OGE 450 of Record?
- Glossary

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

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:

Printer-Friendly

1 to 5 of 5										1
Items per page: 100										
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.

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

The screenshot displays the 'Financial Disclosure Management' web application. At the top, the title 'FDM_TRAIN Test System' is in red, followed by 'Financial Disclosure Management' in large white letters on a dark green background. Below this is a navigation menu with tabs: 'My Info', 'My Reviews', 'Admin', 'Management Reports', and 'Resources'. A 'Log Out' link is on the right. A secondary menu includes 'Remind Filers', 'Remind Supervisors', 'Review Reports', and 'Manage Exceptions'. A third menu contains 'Report Data', 'Attachments' (highlighted), 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Previous Reports', and 'Notes'. The main content area is titled 'Complete - Winnie X. Bago, 2006 Annual OGE 450 Report' with a sub-tab 'Attachments'. An instruction box states: 'Instructions: No attachments are required when filling an OGE 450. If you do have something to attach, click "Add Attachment" below.' Below this, a message reads 'This report has no Attachments.' and an 'Add Attachment' button is centered. On the right, a 'Common Questions' sidebar lists: 'May I submit my broker's statement instead of entering each stock and mutual fund separately?' and 'Glossary'. The footer contains 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

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

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | **Admin** | Management Reports | Resources Log Out

Remind Filers | Remind Supervisors | **Review Reports** | Manage Exceptions

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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
 Add Attachment

Instructions: Consult your ethics counselor or ethics official for use of this feature.

Date: 09/17/2008
Originator: Ross_3, B X.
Type: Job Description
 Extension Request
 Late Fee Waiver Request
 Cautionary Notice [Sample Template](#)
 Disqualification [Sample Template](#)
 Other

Notes: (optional, 250 char limit)

Enter filename to attach or click Browse to select file then click Upload

Filename:

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

Common Questions

- May I submit my broker's statement instead of entering each stock and mutual fund separately?
- Glossary

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.

FDM_TRAIN Test System
Financial Disclosure Management

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

Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

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

Complete - Winnie X. Bago, 2006 Annual OGE 450 Report
 Attachments

Date Attached	Originator	Type	Name	Category	Notes	
09/17/2008	Ross_3, B X.	Other : Future Employment Agreement	Future Employment Agreement for Filer Winnie Bago.doc	Supplemental	Future Employment Agreement for Filer Winnie Bago	<input type="button" value="Replace"/> <input type="button" value="Delete"/>

Common Questions

- May I submit my broker's statement instead of entering each stock and mutual fund separately?
- Glossary

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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.

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | **Manage Exceptions**

Reports that Need Special Action

Search ? How Do I...

My Roles: 450 Certifier | Year: 2009 | Search | Reset

1 to 49 of 49 | Items per page: 100

Assigned	Filer	Org Unit	Supervisor	POC(s)	Year	Reporting Status	Exception Reason	Days in Review	Notes Description (partial)	
My Role: 450 Certifier										
Y						Annual	Filer not Started			View Remove Assignment
Yes	Hamilton 1, L X	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	Supv not eSigned	42		View Remove Assignment
Yes						Annual	Open Notes	12	7/2/2009 by Siedd, Bob X. - IR complete	View Remove Assignment eSign & Complete Notes
Yes	Hamilton 3, L X	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	Filer not eSigned			View Remove Assignment
Yes	Hamilton 4, L X	AMC HQ	Bago, Winnie X	Graham, Anna X	2009	Annual	CZ/NECZ Extension			View Remove Assignment

Indicates that the Filer has not started their report by its due

Indicates the Supervisor has not completed their review of this report within 30 days since the Filer submitted the report.

This indicates the 450 Certifier added a note within the report that there are items before the report can be certified.

A National Emergency/Combat Zone extension has been recorded for this report.

Indicates that the Filer has not submitted (eSigned) their report by its 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.

The screenshot displays the 'Financial Disclosure Management' interface. At the top, there is a navigation bar with tabs for 'My Info', 'My Reviews', 'Admin', 'Management Reports', and 'Resources'. Below this, a secondary navigation bar includes 'Remind Filers', 'Remind Supervisors', 'Review Reports', and 'Manage Exceptions'. A third navigation bar contains 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Previous Reports', and 'Notes'. The main content area is titled 'Not Started - Ty X. Coone, 2008 Annual OGE 450 Report' and 'Notes'. It features three buttons: 'Start/Add More Notes', 'Cancel Changes', and 'Save'. Below these is an 'Instructions' box stating: 'Use this page to make notes for follow-up action or other use as you review this report.' The 'Notes' section has a character limit of 10,000. A text entry field contains the following note: '9/23/2008 by Ross_3, B X. - Filer listed an asset: "Schwab IRA" without reporting its underlying holdings. Asked Filer to amend and add the underlying holdings using Schwab IRA - underlying holding name. Explained Filer should not report diversified mutual funds held in their Schwab IRA.' Below the text field, it shows '9972 Characters Remaining of 10000'. At the bottom of the notes section are three buttons: 'Back', 'Close Notes', and 'Delete Notes'.

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.

Financial Disclosure Management

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

Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

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

Not Started - Ty X. Coone, 2008 Annual OGE 450 Report

Notes

Notes have been created. This Report has been moved to your Manage Exceptions List.

Start/Add More Notes | Cancel Changes | Save

Instructions: Use this page to make notes for follow-up action or other use as you review this report.

Notes (Limit 10,000 characters)

9/23/2008 by Ross_3, B X. - Follow up with filer regarding spouse LLP.

Microsoft Internet Explorer

Do you want to close these Notes and move the Report back to your Worklist?. All unsaved changes will be saved. Click 'Ok' to close, otherwise click 'Cancel'!

OK | Cancel

9930 Characters Remaining of 10000

< Back | Close Notes | Delete Notes

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.

FDM TRAIN Test System

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

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

Under Review - Cara X. Mello, 2010 New Entrant OGE 450 Report

Review Status

450 Certifier

Report Progress

Assigned: No [Assign](#)

Filer Started: 09/02/2010

Filer eSign and Submitted: 09/03/2010

Amended:

Completed:

Due Date & Extensions

Current Due Date: 08/31/2010

[View/Edit Due Date & Extensions](#)

No extensions have been recorded.

[Admin Close](#) [Delete](#)

Disclosure Report Reviews

Show Review Chain Controls | Review Chain Audit Trail


Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	TraningFDM X Supervisor	<input checked="" type="checkbox"/>	Organization		
Supervisor SLC	TraningFDM X SLC	<input checked="" type="checkbox"/>	Organization		
450 Certifier	Toree X Vic	<input checked="" type="checkbox"/>	Organization		

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5. On the Review Status page, click on the **Delete** button. The Delete Confirmation page is displayed.

FDM_TRAIN Test System

Financial Disclosure Management




My Info My Reviews Admin Ethics Training Management Reports Resources Log Out

Filers Remind Filers Remind Supervisors Review Reports Manage Exceptions

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

Under Review - Raine X. Storm, 2010 Annual OGE 450 Report

Confirm Permanent Report Deletion - Warning

 **Warning!** You are about to permanently delete a report from FDM.

DELETED REPORTS CANNOT BE RECOVERED.

Review the retention rule in [§ 2634.604 Custody of and denial of public access to confidential reports](#) before permanently deleting the report from FDM.

Yes, permanently delete this report.

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6. Select **Yes, permanently delete this report** checkbox and then click the **Confirm** button.

The report is now permanently removed from FDM.



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

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.

- ✎ 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.

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.

 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.

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 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

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Files | Review Reports | Manage Exceptions

Review Reports - Worklist View Mode

Search

My Roles: ALL | Form Type: SF 278 | Year: 2009 | Reporting Status: ALL | Review Status: Under Review | Action: Action Required

Last Name Starts With: | Last Name: | First Name: | Search | Reset

Printer-Friendly

Assigned	Filer	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days in Review	My Review/Signature Date
My Role: Senior Legal Counsel									
Yes	Graw, Marty	CERDEC	Peace, Warren	SF278	2009	Incumbent	Under Review	0	
Yes	Graw, Marty	CERDEC	Peace, Warren	SF278	2008	Incumbent	Complete		02/26/2009
Yes	Long, Myles	CERDEC	Peace, Warren	SF278	2009	Incumbent	Not Started		

Common Questions

- What does it mean to "End" a review?
- What does Amended mean?
- What does Amendment in Progress mean?
- How do I see the reports assigned to me if I have more than one role in FDM?
- What does Complete Report mean?
- Glossary

1. In the Search area select the following and click Search.

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.

- 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**.

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources

Filers | Review Reports | Manage Exceptions

Review Reports - Org Unit View Mode

Senior Legal Counsel

Work List View Mode

Org Unit: My Orgs » TRAINING -SELECT-Next Level Down

Show Filer's Reports for TRAINING

Show My Filer's Reports Include Filer's Reports for Org Units assigned to other Senior Legal Counsels

Search

Form Type: SF 278 | Year: 2009 | Reporting Status: ALL | Review Status: ALL

Last Name Starts With: | Last Name: | First Name: |

1 to 9 of 9 Items per page: 100

Assigned	Filer	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days in Review	My Review/Signature Date	
Yes	Dave, Holly X	AMC	278 4, Training X	SF278	2009	Incumbent	Under Review Amended 07/07/2009	2		<input type="button" value="View"/> <input type="button" value="Remove Assignment"/>
Yes	Hamilton 23, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Draft			<input type="button" value="View"/> <input type="button" value="Remove Assignment"/>
Yes	Hamilton 24, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Under Review (Amendment in Progress)			<input type="button" value="View"/> <input type="button" value="Remove Assignment"/>
Yes	Hamilton 25, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Not Started			<input type="button" value="View"/> <input type="button" value="Remove Assignment"/>
Yes	Hamilton 26, L X	AMC HQ	Bago, Winnie X	SF278	2009	Incumbent	Not Started			<input type="button" value="View"/> <input type="button" value="Remove Assignment"/>

☞ 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..


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.

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	<p>The Submit to DAEO button does not display until a FDM Supervisor and Senior Legal Counsel reviews and eSigns an OGE278.</p> <p>A DAEO or DAEO EC will not be able to eSign and complete a disclosure report until it has been submitted to DAEO.</p> <p>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.</p>
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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | Review Filers | Admin | Resources | Management Reports | Log Out

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

Submitted to DAEO - M X. Mallow_1, 2008 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | Gifts, etc | Liabilities | Agreements | Positions | Wrap Up

Getting Organized

◆ **Note:** You must have Adobe Reader 6.0 or later installed on your PC to view and print the report
 Click to see what version you have.
 TEST

You may find it helpful to have this information to prepare your report:

- ◆ A copy of your previous SF 278 (if you have filed before)
- ◆ A copy of your previous OGE 450 (if you were an OGE 450 filer)
- ◆ Electronic version of your job description (attach to SF 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 (Schedule C, Part II)
- ◆ Mortgage statement (if a rental)
- ◆ Credit card and any other loan statements
- ◆ [SF 278 Instructions](#) (click on link to view the instructions)

Common Questions

- ◆ Why must I file this report?
- ◆ Do I have to file if I am a "frocked" Brigadier General?
- ◆ Do I have to file if I am a Reserve Component officer?
- ◆ How is the information that I report used?
- ◆ Do I report my spouses' assets if we are separated?
- ◆ How is my financial information protected?
- ◆ How long will it take to install Adobe Reader
- ◆ **Open a blank SF 278**
- ◆ Glossary

Continue ►

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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.

The screenshot shows the 'Financial Disclosure Management' system interface. The top navigation bar includes 'My Info', 'Review Filers', 'Admin', and 'Resources'. Below this is a secondary navigation bar with 'Reports List', 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', and 'Compare'. The main content area is titled 'Under Review - L X. Knox_29, 2007 Incumbent SF 278 Report' and features a 'Red Flags' section. This section contains two tables: 'Assets' and 'Agreements'. The 'Assets' table lists 'Beach Rental, USA' with a value of '\$250,001-\$500,000' and income of '\$15,001-\$50,000'. It has two red flags: 'The City is required when reporting this type of asset.' and 'The State is required when reporting this type of asset.' The 'Agreements' table lists 'Kroll Inc., New York, NY, USA' with a 'Stock Option' type. It has one red flag: 'The Month and Year the agreement was established are required when reporting an agreement or arrangement.' Below the 'Red Flags' section is a 'Yellow Flags' section, which contains one yellow flag: 'The description of the Status and Terms was not provided.' A 'Common Questions' sidebar on the right lists 'What are flags?' and 'Glossary'. The Department of the Army's seal is visible in the top right corner of the interface.

Red Flags

Assets					
Asset Name	Type of Asset	Owner	Value	Type of Income	Amount of Income
Beach Rental, USA	Real Estate	Joint	\$250,001-\$500,000	Rent or Royalties	\$15,001-\$50,000
<ul style="list-style-type: none"> ◆ The City is required when reporting this type of asset. ◆ The State is required when reporting this type of asset. 					

Agreements			
Parties	Type of Agreement	Status and Terms	Date
Kroll Inc., New York, NY, USA	Stock Option		
<ul style="list-style-type: none"> ◆ The Month and Year the agreement was established are required when reporting an agreement or arrangement. 			

Yellow Flags

Agreements			
Parties	Type of Agreement	Status and Terms	Date
Kroll Inc., New York, NY, USA	Stock Option		
<ul style="list-style-type: none"> ◆ The description of the Status and Terms was not provided. 			

Common Questions

- What are flags?
- Glossary

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

Log Out
My Reports
Assist Filers
My Info
Review Filers
Admin
Resources
Management Reports

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.

FDM_TRAIN Test System

Financial Disclosure Management

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 - Cherri X. Lolar, 2008 Incumbent SF 278 Report
eSign Report

[View this report](#)

Step 1: By eSigning...

By eSigning this report, you are confirming that you have reviewed this report and there is no apparent conflict of interest. If there is a conflict of interest it must be resolved prior to eSigning this report.

In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability solely because it is in electronic form. I here by consent to the use of eSignature.

I understand that my eSignature is applied to the information that I have provided and not the presentation formatting of the information on the screen or printed page.

Step 2: eSign your report

[View this report](#)

Common Questions

- ◆ What is the Annual Post-Employment Certification and Notification?
- ◆ Is there a "combat zone extension" for completing the Annual Post-Employment Certification and Notification?
- ◆ Glossary

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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**.

The screenshot shows the 'Financial Disclosure Management' interface. The main navigation bar includes 'My Info', 'Review Filers', 'Admin', 'Resources', and 'Management Reports'. The 'Management Reports' section is active, showing a report titled 'Under Review - M X. Mallow_1, 2008 Incumbent SF 278 Report'. Below the report title, there are three 'View/Print' buttons: one for 'SF 278 and Comments of Record', one for 'Flags', and one for 'All Comments'. Below these buttons is an 'Attachments' table with one row: 'Job Description' attached on '02/15/2008' with the file name 'FDM JOB DESCRIPTION.doc'. A note below the table states: 'Note: You must have Adobe Reader 6.0 or later installed on your PC to view and print the report'. At the bottom of the interface, there is a footer with 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

☞ 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

3. Click **View/Print** beside the financial disclosure report. The report is displayed in a separate browser window in PDF form.

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.

The screenshot shows the FDM system interface. At the top, there is a navigation bar with tabs for 'My Info', 'Review Filers', 'Admin', and 'Resources'. Below this is a secondary navigation bar with tabs for 'Reports List', 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', and 'Compare'. The main content area is titled 'Under Review - L X. Knox_29, 2007 Incumbent SF 278 Report'. Below the title is a horizontal menu with buttons for 'Getting Started', 'Assets', 'Other Income', 'Transactions', 'Gifts, etc', 'Liabilities', 'Agreements', 'Positions', and 'Wrap Up'. The 'Assets' section is active, displaying a table of assets. The table has columns for 'Seq.#', 'Asset Name', 'Type of Asset', 'Owner', 'Asset Value', 'Type of Income', and 'Asset Income'. A single asset is listed: 'Beach Rental, USA' with a value of '\$250,001-\$500,000' and income of '\$15,001-\$50,000'. There are 'View Asset' and 'Add Comment' buttons next to the asset. To the right of the table is a 'Common Questions' section with several bullet points. At the bottom of the table area, there are 'Back' and 'Continue' buttons.

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.).

Reporting Period: Calendar Year 2006.

Seq.#▲	Asset Name	Type of Asset	Owner	Asset Value	Type of Income	Asset Income	
1	Beach Rental, USA	Real Estate	Joint	\$250,001-\$500,000	Rent or Royalties	\$15,001-\$50,000	View Asset Add Comment

Common Questions

- Do I have to report my personal savings or checking accounts?
- Do I report loans where I (or my spouse/dependent child) loan money to another?
- Are there any reporting exceptions?
- What are examples of reportable assets?
- What are underlying assets?
- When do I report underlying assets?
- How do I report an underlying asset?
- Do I need to attach a disqualification...

☞ 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.

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

FDH_TRAIN Test System
Financial Disclosure Management

My Info | Review Filers | Admin | Resources | Management Reports

Reports List | Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Comp

Under Review - Cheryl X. Lolar, 2008 Incumbent SF 278 Report

Adding Details | **Assets** | Other Discs | Transactions | Filings | Debts | Agreements | Photos

View Asset

Instructions: This is a form for the asset, for example, the company name for a stock or bond. Options for an investment account. Then choose the type of asset, and you will be able to add the appropriate tax information (as applicable) for a Stock, Bond, Option or Security. Enter the level of ownership you own the asset. For assets that are publicly traded, choose the type of share (more than one is possible), and select the appropriate income tax rate. Public assets are listed on the asset to avoid the asset, then the asset is reviewed and ready to be entered.

Reporting Period: Calendar Year 2008.

Asset Name:

Asset Owner: (optional)
 Self Joint Spouse Dependents Child

Asset Type:
 Check out, Savings, or Money Market Account
 Stock, Bond, Option, or Security
 Real Estate
 Mutual Fund, Investment Fund, or Pool
 Expanded Income Method
 Other
 Unreported - Growth Rate
 Qualified
 Non-qualified or qualified
 Retirement Plan or Account (401k, 403b)
 Pension Plan (annuity name)
 Classes:
 Other, Partnership, LLC, or S Corp
 Asset ID:

Asset Income Information:
 Non-qualified income (all other income)
 Dividend Income
 Dividends
 Capital Gains
 Interest
 Rental Income
 Annual %:
 Other (specify in comment)
 Deviation:
 Asset Annual %:

Asset Value:

Asset Location:
 City: State: County:

Underlying Asset:
 This is an underlying asset.

* The 50% FDH TRAIN system applies only if the asset is publicly traded. If the first spouse is the beneficial owner, if the asset is publicly traded, if the first spouse is the beneficial owner, if the spouse is reported, it will be used. The other spouse's price of value is appropriate.

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.

FDM_TRAIN Test System
Financial Disclosure Management

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 - Cherri X. Lolar, 2008 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | Gifts, etc | Liabilities | Agreements | Positions | Wrap Up

Agreements or Arrangements

Instructions: For yourself only, report any agreements or arrangements for (1) future employment; (2) a leave of absence during your period of Government Service; (3) continuation of payment by a former employer (including severance payments) other than from the U.S. Government; and, (4) continuing participation in an employee benefit or welfare plan maintained by a former employer other than U.S. Government retirement benefits. No report is required regarding any agreement or arrangement entered into by a spouse or dependent child.

Reporting Period: From 01/01/2007 through your filing date.

Parties	Type of Agreement	Status and Terms	Date	
Kroll Inc., New York, NY, USA	Continuing participation in Employee Benefit Plan	Continuing participation in employer's stock option plan for next 4 years.	10/2005	View Add Comment

◀ Back | Continue ▶

Common Questions

- ◆ What are examples of reportable agreements or arrangements?
- ◆ Do I need to disclose severance agreements?
- ◆ Do I need to disclose any arrangements or agreements with a future employer?
- ◆ Do I need to disclose my participation in a United States Government benefit plan?
- ◆ What is my Filing Date?
- ◆ Country Code Reference
- ◆ Glossary

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

FDM_TRAIN Test System
Financial Disclosure Management

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 - Cherri X. Lolar, 2008 Incumbent SF 278 Report
 Add Comment

Agreement

Parties	Type of Agreement	Status and Terms	Date
Kroll Inc., New York, NY, USA	Continuing participation in Employee Benefit Plan	Continuing participation in employer's stock option plan for next 4 years.	10/2005

Comment on: Agreement (Limit 500 characters)

Date: 02/20/2008 **Author:** Abe X. Sovey

SF 278 of Record: (Include as part of SF 278 of Record)

You must also report your pension information as a receivable within the Other Income section of your report.

Common Questions

- ◆ What is the SF 278 of Record?
- ◆ When should a comment be part of the SF 278 of Record?
- ◆ Glossary

- 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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | Review Reports | **Admin** | Management Reports | Resources | Log Out

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

Under Review - Paige Turner, 2007 Incumbent SF 278 Report
 Comments

(listed in reverse chronological order)

Author	Author Role	Date	Comment On	SF 278 of Record	Comment Text	
Teak, Anne	Reviewer	06/17/2008	Report		Filer needs to review all Assets to ensure none are underlying	Edit Comment

[Add Report Comment](#)

Common Questions

- ◆ Who is a DAEO (Designated Agency Ethics Official)?
- ◆ Who is an SLC (Senior Legal Counsel)?
- ◆ Who is an EC (Ethics Counselor)?
- ◆ What is the difference between a comment on a Report and a comment on a line item?
- ◆ What is the SF 278 of Record?
- ◆ Glossary

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

FDM_TRAIN Test System
Financial Disclosure Management

My Info | Review Reports | **Admin** | Management Reports | Resources | Log Out

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

Under Review - Paige Turner, 2007 Incumbent SF 278 Report
 Add Comment

Comment on: Report (Limit 500 characters)

Date: 06/17/2008 Author: Anne Teak
 SF 278 of Record: (Include as part of SF 278 of Record)

Common Questions

- ◆ What is the SF 278 of Record?
- ◆ When should a comment be part of the SF 278 of Record?
- ◆ Glossary

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

FDM_TRAIN Test System
Financial Disclosure Management

My Info | Review Reports | **Admin** | Management Reports | Resources | Log Out

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

Under Review - Paige Turner, 2007 Incumbent SF 278 Report
 Comments

(listed in reverse chronological order)

Author	Author Role	Date	Comment On	SF 278 of Record	Comment Text	
Teak, Anne	Reviewer	06/17/2008	Report		Report comments are added here.	Edit Comment
Teak, Anne	Reviewer	06/17/2008	Report		Filer needs to review all Assets to ensure none are underlying	Edit Comment

Common Questions

- ◆ Who is a DAEO (Designated Agency Ethics Official)?
- ◆ Who is an SLC (Senior Legal Counsel)?
- ◆ Who is an EC (Ethics Counselor)?
- ◆ What is the difference between a comment on a Report and a comment on a line item?
- ◆ What is the SF 278 of Record?
- ◆ Glossary

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Notes

- These “Reviewer” notes do not appear on the Filer’s report.

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.

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.

The screenshot displays the 'Financial Disclosure Management' web application. The top navigation bar includes tabs for 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this, a secondary navigation bar shows 'Filers', 'Review Reports', and 'Manage Exceptions'. The 'Review Reports' section is active, with sub-tabs for 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Previous Reports', and 'Notes'. The 'Notes' tab is selected, showing the report title 'Under Review - Holly X. Daye, 2009 Incumbent SF 278 Report' and the section 'Notes'. At the top of the notes section are buttons for 'Start/Add More Notes', 'Cancel Changes', and 'Save'. Below these is an instruction: 'Instructions: Use this page to make notes for follow-up action or other use as you review this report.' The main area is a text box labeled 'Notes: (Limit 10,000 characters)' containing a sample note: '7/9/2009 by Frydey, Gladys X. - Filer listed an asset: "Schwab IRA" without reporting its underlying holdings. Asked Filer to amend and add the underlying holdings using Schwab IRA - Underlying holding name. Explained Filer should not report diversified mutual funds held in their Schwab IRA.' Below the text box is a character count: '(9707 Characters Remaining of 10000)'. At the bottom of the notes section are buttons for 'Close Notes' and 'Delete Notes'. A '< Back' button is located at the bottom left of the interface.

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.

The screenshot displays the 'FDM_TRAIN Test System' interface for 'Financial Disclosure Management'. The top navigation bar includes 'My Info', 'Review Filers', 'Admin', 'Resources', 'Management Reports', and 'Log Out'. Below this, a secondary navigation bar lists 'Reports List', 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', and 'Compare'. The main content area is titled 'Under Review - Cherri X. Lolar, 2008 Incumbent SF 278 Report'. A horizontal menu below the title contains tabs for 'Getting Started', 'Assets', 'Other Income', 'Transactions', 'Gifts, etc', 'Liabilities', 'Agreements', 'Positions', and 'Wrap Up'. The 'Wrap Up' tab is active, showing the 'Reviewer's Wrap Up' section. This section contains the text: 'This report is under review. The next steps to finish the review of this report are:' followed by a list of instructions: 'Click "Continue" to proceed to the report's Review Status.', 'Complete your review.', 'eSign the report if you are a designated signer.', and 'Notify any subsequent reviewers.' At the bottom of this section are two buttons: '<Back' and 'Continue>'. To the right of the main content is a 'Common Questions' sidebar with two items: 'What am I determining when reviewing a Filer's financial disclosure report?' and 'Glossary'.

2. If there are no flags to review, click **Continue**. The Review Status page is displayed.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | Review Reports | Admin | Resources | Management Reports

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

Under Review - Barbie Dahl, 2008 Incumbent SF 278 Report
 Review Status

DAEO ? How Do I...

Report Progress

Created:	06/30/2008
Filer eSign and Submitted:	07/10/2008
Amended:	07/10/2008
Submitted for Certification:	
Completed:	

Disclosure Due Date
 06/30/2008 [View/Record Extension](#)

One or more extensions have been recorded.

Complete w/o Signature | eSign | End Review | Submit to DAEO

Disclosure Report Reviews

Hide Review Chain Controls

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures	Explanation	
Supervisor - individual Add Reviewer	Anne T. Sociale	<input checked="" type="checkbox"/>	Individual	07/11/2008 Sociale, Anne T. Supervisor - individual	07/11/2008 Sociale, Anne T. Supervisor - individual	Ms. Sociale was the supervisor for Manny Kin for the majority of the reporting period that is covered by this disclosure.	Change
Supervisor SLC	E X Pickney	<input checked="" type="checkbox"/>	Organization				
Senior Legal Counsel Add Reviewer	E X Pickney	<input checked="" type="checkbox"/>	Organization	07/09/2008 Pickney, E X Senior Legal Counsel			Change
Senior Legal Counsel	B X Ross - 4	<input checked="" type="checkbox"/>	Additional			Mr. Ross is a subject matter expert in the type of mutual funds reported in this disclosure.	Change
DAEO	B X Ross - 4	<input checked="" type="checkbox"/>	Organization				Change

- 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/>
- 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.

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 an 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 Exceptions 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

E-SIGNING 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.

- 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.
- Click **OK**. The eSign Report page is displayed.

The screenshot shows the 'Financial Disclosure Management' interface. The main heading is 'Under Review - Cherri X. Lolar, 2008 Incumbent SF 278 Report eSign Report'. The page is divided into several sections:

- Navigation:** My Info, Review Filers, Admin, Resources, Management Reports, Log Out.
- Tools:** Reports List, Report Data, Attachments, Comments, Flags, Audit Trail, View/Print, Review Status, Compare.
- Content:**
 - [View this report](#)
 - Step 1: By eSigning...**

By eSigning this report, you are confirming that you have reviewed this report and there is no apparent conflict of interest. If there is a conflict of interest it must be resolved prior to eSigning this report.

In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability solely because it is in electronic form. I here by consent to the use of eSignature.

I understand that my eSignature is applied to the information that I have provided and not the presentation formatting of the information on the screen or printed page.
 - Step 2: eSign your report**
 - [View this report](#)
 -
- Common Questions:**
 - What is the Annual Post-Employment Certification and Notification?
 - Is there a "combat zone extension" for completing the Annual Post-Employment Certification and Notification?
 - Glossary
-
- Footer:** Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

- 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.
- 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

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Reports - Worklist View Mode OrgUnit View Mode

Search

My Roles: DAEO | Form Type: ALL | Year: ALL | Reporting Status: ALL | Review Status: ALL | Action: ALL

Last Name Starts With: | Last Name: | First Name: | Search | Reset

1 to 3 of 3 Items per page: 100 Printer-Friendly

Assigned	Filer	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days in Review	My Review/Signature Date	
Yes	Dave, Holly X	AMC	278 4, Training X	SF278	2009	Incumbent	Submitted to DAEO			View Remove Assignment End Review Undo Submit To DAEO eSign & Complete
Yes	Hamilton 23, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Under Review	0		View Remove Assignment Submit To DAEO
Yes	Hamilton 24, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Under Review Amended 07/09/2009	0		View Remove Assignment Submit To DAEO

1 to 3 of 3 Items per page: 100 1

Submit to DAEO - Review Status page

Financial Disclosure Management

My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources

Filers
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

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

Under Review - L X. Hamilton_24, 2009 Incumbent SF 278 Report

Review Status

DAEO

? How Do I ...

Common

- ◆ What is t between and Sign
- ◆ What is t date and differ fro Submitte
- ◆ When sh Addition added?
- ◆ Glossary

Report Progress

Assigned: Yes Remove Assignment

Filer Started: 07/02/2009

Filer eSign and Submitted: 07/09/2009

Amended: 07/09/2009

Submitted for Certification:

Completed:

Due Dates & Extensions

Current Due Date: 05/15/2009

Report Due Date: 05/15/2009

View/Edit Due Date & Extensions

No extensions have been recorded.

Admin Close
Submit to DAEO

Disclosure Report Reviews

Show Review Chain Controls
Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Winnie X Bago	✉	Organization		
Supervisor SLC	Gladys X Frydey	✉	Organization		
Senior Legal Counsel	Gladys X Frydey	✉	Organization	07/09/2009 Frydey, Gladys X. Senior Legal Counsel	07/09/2009 Frydey, Gladys X. Senior Legal Counsel
DAEO	Adam X Baum	✉	Organization		

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.

The screenshot displays the 'Financial Disclosure Management' interface. At the top, there are navigation tabs: 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below these are sub-tabs: 'Filers', 'Remind Filers', 'Remind Supervisors', 'Review Reports', and 'Manage Exceptions'. The main heading is 'Review Reports - Worklist View Mode'. There is a search bar with filters for 'My Roles' (DAEO), 'Form Type' (ALL), 'Year' (ALL), 'Reporting Status' (ALL), 'Review Status' (ALL), and 'Action' (ALL). Below the search bar are input fields for 'Last Name Starts With', 'Last Name', and 'First Name', along with 'Search' and 'Reset' buttons. A 'Printer-Friendly' icon is visible. The main table shows a single report with the following details:

Assigned	Filer	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days in Review	My Review/Signature Date	
Yes	Dave, Holly X	AMC	278 4, Training X	SF278	2009	Incumbent	Submitted to DAEO			View Remove Assignment End Review Undo Submit To DAEO eSign & Complete

At the bottom of the table, there are '1 to 1 of 1' and 'Items per page: 100' indicators.

- 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

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources

Filers | Review Reports | Manage Exceptions

Review Reports - Worklist View Mode OrqUnit View Mode

Search

My Roles: ALL | Form Type: SF 278 | Year: 2009 | Reporting Status: ALL | Review Status: ALL | Action: ALL

Last Name Starts With: | Last Name: | First Name: | Search | Reset

Printer-Friendly

1 to 12 of 12 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: Senior Legal Counsel										
Yes	Dave, Holly X	AMC	278 4. Training X	SF278	2009	Incumbent	Submitted to DAEO		07/09/2009	View Remove Assignment
Yes	Hamilton 23, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Under Review Amended 07/13/2009	0	07/09/2009	View Remove Assignment eSign End Review
Yes	Hamilton 24, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Under Review Amended 07/09/2009	4	07/09/2009	View Remove Assignment
My Role: Supervisor SLC										
Yes	Dave, Holly X	AMC	278 4. Training X	SF278	2009	Incumbent	Submitted to DAEO			View
Yes	Hamilton 23, L X	AMC	Bago, Winnie X	SF278	2009	Incumbent	Under Review Amended	0		View

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

☞ 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. .

Note: The 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.

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 were made by the Filer. Review the Report's Events to verify if your recommended changes were made by the Filer.

3. Click **Audit Trail**. The Audit Trail page is displayed.

The screenshot shows the FDM TRAIN Test System interface. The main header is "Financial Disclosure Management" with a Department of the Army logo. Navigation tabs include "My Reports", "My Info", "Review Filers", "Admin", and "Resources". A secondary navigation bar contains "Reports List", "Report Data", "Attachments", "Comments", "Flags", "Audit Trail", "View/Print", "Review Status", and "Comp". The page title is "Complete - L X. Knox_29, 2007 Incumbent SF 278 Report". The "Audit Trail" section is active, displaying a table of events listed in reverse chronological order. A "Common Questions" sidebar is visible on the right.

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	

Common Questions

- What is an ADAEO (Alternate Designated Agency Ethics Official)?
- What is an SLC (Senior Legal Counsel)?
- What is an EC (Ethics Counselor)?
- Glossary

4. Review the Report's Events to verify if your recommended changes were 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.

Financial Disclosure Management

My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources
Lo

Filers
Review Reports
Manage Exceptions

Report Data
Attachments
Comments
Flags
Audit Trail
View/Print
Review Status
Previous Reports
No

Under Review - L X. Hamilton_23, 2009 Incumbent SF 278 Report
 Review Status

Senior Legal Counsel

Report Progress

Assigned: Yes Remove Assignment

Filer Started: 06/24/2009

Filer eSign and Submitted: 07/13/2009

Amended: 07/13/2009

Submitted for Certification:

Completed:

Due Dates & Extensions

Current Due Date: 05/15/2009

Report Due Date: 05/15/2009

View/Edit Due Date & Extensions

No extensions have been recorded.

Common Quest

- ◆ What is the differ between Review D and Signature Da
- ◆ What is the Amer date and how doe differ from the Submitted Date?
- ◆ When should an Additional Review added?
- ◆ Glossary

eSign
End Review

Disclosure Report Reviews

Show Review Chain Controls
Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Winnie X Bago	✉	Organization		
Supervisor SLC	Gladys X Frydey	✉	Organization		
Senior Legal Counsel	Gladys X Frydey	✉	Organization	07/09/2009 Frydey, Gladys X Senior Legal Counsel	
DAEO	Adam X Baum	✉	Organization		

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 repopulate.
- ◆ 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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Reports that Need Special Action

Search ? How Do I...

My Roles: DAEO Year: ALL Search Reset

Printer-Friendly

Assigned	Filer	Org Unit	Supervisor	POC(s)	Year	Reporting Status	Exception Reason	Days in Review	Notes Description (partial)	
My Role: DAEO										
Yes	Aki, Terrie X	Terry Org Unit	Board, Bill	Oakey, Carrie	2009	Incumbent	Open Notes		2/25/2009 by Turner, Paige - Need to call the File	View Remove Assignment Notes
Yes	Aki, Terrie X	Terry Org Unit	Board, Bill	Oakey, Carrie	2008	Incumbent	Late			View Remove Assignment
Yes	Nutt, Hazel	CERDEC	Peace, Warren	Oakey, Carrie	2008	Incumbent	Late			View Remove Assignment
No	Long, Myles	CERDEC	Peace, Warren	Oakey, Carrie	2008	Incumbent	Late			View Assign
No	Nutt, Hazel	CERDEC	Peace, Warren	Oakey, Carrie	2007	Incumbent	Late			View Assign

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.

FDM_TRAIN Test System
Financial Disclosure Management

My Info My Reviews Admin Ethics Training Management Reports Resources Log Out

Filers Remind Filers Remind Supervisors Review Reports Manage Exceptions

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

Draft - Hazel Nutt, 2007 Incumbent SF 278 Report
 Review Status

DAEO [? How Do I...](#)

Report Progress

Assigned: No [Assign](#)

Filed: 03/03/2009

Filed eSign and Submitted:

Amended:

Submitted for Certification:

Completed:

Due Dates & Extensions

Current Due Date: 05/15/2007

Report Due Date: 05/15/2007

[View/Edit Due Date & Extensions](#)

No extensions have been recorded.

[Admin Close](#) [Complete w/o Signature](#)

Disclosure Report Reviews

[Show Review Chain Controls](#) [Review Chain Audit Trail](#)

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Reviews	eSigned/Signatures
Supervisor	Warren Peace	<input type="checkbox"/>	Organization		
Supervisor SLC	Eileen Left	<input checked="" type="checkbox"/>	Organization		
Senior Legal Counsel	Eileen Left	<input checked="" type="checkbox"/>	Organization		
DAEO	Paige Turner	<input checked="" type="checkbox"/>	Organization		

Common Questions

- What is the difference between Review Date and Signature Date?
- What is the Amended date and how does it differ from the Submitted Date?
- When should an Additional Reviewer be added?
- Glossary

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

- On the Review Status page, click on the **Admin Close** button. The Confirm Administratively Closing this Report page is displayed.
- 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.

The screenshot shows the 'FDM_TRAIN Test System' interface for 'Financial Disclosure Management'. The top navigation bar includes 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this is a secondary navigation bar with 'Log Out', 'Review Reports', and 'Manage Exceptions'. A third navigation bar contains 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Previous Reports', and 'Notes'. The main content area is titled 'Draft - Hazel Nutt, 2007 Incumbent SF 278 Report' and 'Confirm Administratively Closing this Report'. It prompts the user to 'Please provide a reason for administratively closing this report.' and includes a text area labeled 'Reason: (Limit 500 characters)' containing the text 'Report Administratively Closed: Filer has retired'. Below the text area, it shows '(450 Characters Remaining of 500)'. A question 'Should this be counted as an assigned report?' is followed by radio buttons for 'Yes' and 'No', with 'No' selected. At the bottom are 'Confirm' and 'Cancel' buttons. The footer contains 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

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

Financial Disclosure Management

My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources

Files
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

Review Reports - Worklist View Mode

OrgUnit View Mode

Search

My Roles:
Form Type:
Year:
Reporting Status:
Review Status:
Action:

Last Name Starts With:
Last Name:
First Name:

Printer-Friendly

1 to 2 of 2 Items per page: 1

Assigned	Filer ▲	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days in Review	My Review/Signature Date	
My Role: DAEO										
Yes	Dave, Holly X	AMC	278 4, Training X	SF278	2009	Incumbent	Complete	6	07/13/2009	<input type="button" value="View"/>
Yes	Hamilton 23, LX	AMC	Bago, Winnie X	SF278	2009	Incumbent	Complete	0	07/13/2009	<input type="button" value="View"/>

1 to 2 of 2 Items per page: 1

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.

Financial Disclosure Management

My Info | My Reviews | **Admin** | Ethics Training | Management Reports | Resources

Filers | Remind Filers | Remind Supervisors | **Review Reports** | Manage Exceptions

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

Complete - Holly X. Daye, 2009 Incumbent SF 278 Report

Comments

(listed in reverse chronological order)

Author	Author Role	Date	Comment On	Line Item	Category	Comment Text
Bago, Winnie X.	Reviewer	06/24/2009	Report			Changed Supervisor to Don's Supervisors Training 278_4

Add Report Comment

Comments

- Who is a (Design Ethics O
- Who is a Legal C
- Who is a Counsel
- What is between on a Re commen item?
- What is Record?

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

Financial Disclosure Management

My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources

Filers
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

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

Complete - Holly X. Daye, 2009 Incumbent SF 278 Report

Add Comment

Comment on Report (Limit 500 characters)

Date: 07/13/2009 **Author:** Adam X. Baum

SF 278 of Record: (Include as part of SF 278 of Record)

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.

(235 Characters Remaining of 500)

Save
Cancel

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

Financial Disclosure Management

My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources

Filers
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

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

Complete - Holly X. Daye, 2009 Incumbent SF 278 Report

Comments

(listed in reverse chronological order)

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. Edit Comment
Bago, Winnie X.	Reviewer	06/24/2009	Report			Changed Supervisor to Don's Supervisors Training 278_4

Add Report Comment

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

Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Review Reports - Worklist View Mode

Search

My Roles: DAEO | Form Type: SF 278 | Year: 2009 | Reporting Status: ALL | Review Status: Complete | Action: ALL

Last Name Starts With: | Last Name: | First Name: | Search | Reset

Printer-Friendly

1 to 2 of 2 | 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: DAEO										
Yes	Dave, Holly X	AMC	278 4, Training X	SF278	2009	Incumbent	Complete	6	07/13/2009	View
Yes	Hamilton, 23, LX	AMC	Bago, Winnie X	SF278	2009	Incumbent	Complete	0	07/13/2009	View

1 to 2 of 2 | Items per page: 100 | 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
- Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

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

The screenshot shows the 'Financial Disclosure Management' interface. At the top, there is a navigation menu with tabs for 'FDM Banner', 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this is a secondary menu with 'Files', 'Remind Filers', 'Remind Supervisors', 'Review Reports', and 'Manage Exceptions'. A third menu contains 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Previous Reports', and 'Notes'. The 'Attachments' tab is selected.

The main content area displays the title 'Complete - Holly X. Daye, 2009 Incumbent SF 278 Report' and the sub-section 'Attachments'. Below this is a table with the following data:

Date Attached	Originator	Type	Name	Category	Notes
07/07/2009	Daye, Holly X.	Job Description	FDM_JOB_DESCRIPTION.doc		

Below the table is an 'Add Attachment' button.

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

Financial Disclosure Management

My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources

Filers
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

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

Complete - Holly X. Daye, 2009 Incumbent SF 278 Report
Add Attachment

Instructions: Use this area to add attachments that should be viewable with the financial disclosure report. Check the appropriate type or use 'Other' and describe the attachment. For example: Ethics Counselor advisory on financial interests.

Date: 07/13/2009

Originator: Baum, Adam X.

Type:

- Job Description
- Extension Request
- Late Fee Waiver Request
- Late Fee Waiver Result
- Certificate of Divestiture
- Ethics Agreement
- Cautionary Notice [Sample Template](#)
- Disqualification [Sample Template](#)
- Memorandum for Record
- Other

Notes: (optional)

(Limit 250 characters)

(206 Characters Remaining of 250)

Click "Browse" to select file then click "Upload".

Filename:

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.

Financial Disclosure Management

FDM Banner
My Info
My Reviews
Admin
Ethics Training
Management Reports
Resources
Log Out

Filers
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions

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

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	<input type="button" value="Replace"/> <input type="button" value="Delete"/>
07/07/2009	Daye, Holly X.	Job Description	FDM JOB DESCRIPTION.doc			

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.

Reports that Need Special Action

Search: _____ My Roles: [DAEO] Year: [ALL] [How Do I...]

A National Emergency/Combat Zone extension has been recorded for this report.

This indicates the DAEOS or Senior Legal Counsel added a note indicating that there are items within the report that require follow up before the report can be certified.

Assigned	Filer	Org Unit	Supervisor	POC(s)	Year	Reporting Status	Exception Reason	Date In Review	Notes Description (partial)	
Yes	Hamilton 22, LX	AMC	Bago, Winnie X	Beache, Sandy X	2009	Incumbent	Open Notes		3/20/2009 by Baum, Adam X. - Follow up with filer	View Remove Assignment Notes
Yes	Hamilton 23, LX	AMC	Bago, Winnie X	Beache, Sandy X	2009	Incumbent	CZ/NECZ Extension			View Remove Assignment Notes
Yes	LX	HQ	Winnie X	Sandy X		Incumbent	Supv not eSigned	33		View Remove Assignment Notes
No	LX	HQ	Winnie X	Anna X		New Entrant	Filer not eSigned			View Assign Notes
No	Hamilton 28, LX	AMC HQ	Bago, Winnie X	Graham, Anna X	2008	New Entrant	SLC not eSigned	45		View Assign Submit To DAEOS Notes
Yes	Hamilton 23, LX	AMC	Bago, Winnie X	Beache, Sandy X	2009	Incumbent	Filer not Started			View Remove Assignment Notes

Indicates the Supervisor has not completed their review of this report within 30 days since the Filer submitted the report.

Indicates that the Filer has not submitted (eSigned) their report by its due date.

Indicates the Senior Legal Counsel has not completed their review of this report within 30 days since the Filer

Indicates that the Filer has not started their report by its 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.

The screenshot displays the 'Financial Disclosure Management' interface. At the top, there is a navigation menu with tabs for 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this is a secondary menu with 'Filers', 'Review Reports', and 'Manage Exceptions'. A third row of tabs includes 'Report Data', 'Attachments', 'Comments', 'Flags', 'Audit Trail', 'View/Print', 'Review Status', 'Previous Reports', and 'Notes'. The main content area is titled 'Under Review - L X. Hamilton_30, 2009 Incumbent SF 278 Report' and 'Notes'. It features three buttons: 'Start/Add More Notes', 'Cancel Changes', and 'Save'. Below these is an instruction: 'Instructions: Use this page to make notes for follow-up action or other use as you review this report.' The 'Notes' section is labeled '(Limit 10,000 characters)' and contains a text area with the following text: '7/13/2009 by Frydey, Gladys X. - Filer listed an Asset "Schwab IRA" without reporting its underlying holdings. Asked Filer to amend and add the underlying Schwab IRA underlying holding income. Explained Filer should not report diversified mutual funds held in Schwab IRA. 7/13/2009 by Frydey, Gladys X. - Call Filer about ALCOA stock.' Below the text area, it shows '(9664 Characters Remaining of 10000)'. At the bottom of the notes section are 'Close Notes' and 'Delete Notes' buttons. A 'Back' button is located at the bottom left of the main content area.

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.

Financial Disclosure Management

My Info My Reviews Admin Ethics Training Management Reports Resources Log Out

Filers Review Reports Manage Exceptions

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

Under Review - L X. Hamilton_30, 2009 Incumbent SF 278 Report
Notes

Start/Add More Notes Cancel Changes Save

Instructions: Use this page to make notes for follow-up action or other use as you review this report.

Notes: (Limit 10,000 characters)

7/13/2009 by Frydey, Gladys X. - Filer listed an Asset "Schwab IRA" without reporting its underlying holdings. Asked Filer to amend and add the underlying Schwab IRA underlying holding income. Explained Filer should not report diversified mutual funds held in Schwab IRA.
7/13/2009 by Frydey, Gladys X. - Call Filer about ALCOA stock.

Windows Internet Explorer

Do you want to close these Notes and move the Report back to your Worklist?
All unsaved changes will be saved.
Click 'OK' to close, otherwise click 'Cancel'.

OK Cancel

(9664 Characters Remaining of 10000)

Close Notes Delete Notes

Back

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.

The screenshot displays the 'Review Status' page for a report. At the top, there are navigation tabs: My Info, My Reviews, Admin, Ethics Training, Management Reports, Resources, and Log Out. Below these are sub-tabs: Filers, Review Reports, and Manage Exceptions. The main content area shows the report title 'Draft - OGC 278Filer2, 2010 Incumbent SF 278 Report' and the 'Review Status' tab selected. A 'DAEO' button is visible on the left. A 'Report Progress' section shows 'Assigned: Yes' with a 'Remove Assignment' button, 'Filer Started: 10/07/2010', and 'Filer eSign and Submitted: Amended: Submitted for Certification: Completed:'. A 'Due Date & Extensions' section shows 'Current Due Date: 05/17/2010' and a 'View/Edit Due Date & Extensions' button. A 'Common Questions' sidebar is on the right. At the bottom, there are buttons for 'Admin Close', 'Delete', and 'Complete w/o Signature'. Below these is a 'Disclosure Report Reviews' table with columns for Reviewer Role, Currently Assigned Reviewer, Notify, Reviewer Type, End Initial Review Dates, and eSigned/Signatures.

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Initial Review Dates	eSigned/Signatures
Supervisor	Public X SupervisorPOC	✉	Organization		
Supervisor SLC	Brock X Lee	✉	Organization		
Senior Legal Counsel	Brock X Lee	✉	Organization		
DAEO	DemoOGC X DAEO	✉	Organization		

5. On the Review Status page, click on the **Delete** button. The Delete Confirmation page is displayed.

The screenshot shows the FDM system interface. At the top, there is a navigation bar with tabs: My Info, My Reviews, Admin, Ethics Training, Management Reports, Resources, and Log Out. Below this is a sub-navigation bar with tabs: Filers, Review Reports, and Manage Exceptions. Under 'Review Reports', there are several sub-tabs: Report Data, Attachments, Comments, Flags, Audit Trail, View/Print, Review Status, Previous Reports, and Notes. The main content area displays the title 'Draft - OGC 278Filer2, 2010 Incumbent SF 278 Report' and a warning message: 'Confirm Permanent Report Deletion - Warning'. A yellow warning icon is followed by the text: 'Warning! You are about to permanently delete a report from FDM. DELETED REPORTS CANNOT BE RECOVERED. Review the retention rule in § 2634.603 Custody of and access to public reports before permanently deleting the report from FDM.' There is a checked checkbox next to the text 'Yes, permanently delete this report.' At the bottom of the dialog, there are two buttons: 'Confirm' and 'Cancel'. The footer of the page contains the text: 'Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC'.

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 screenshot shows the "Registered Filers Summary" report in the FDM system. The interface has a green header with the title "Financial Disclosure Management" and navigation tabs for "My Info", "My Reviews", "Admin", "Ethics Training", "Management Reports", and "Resources". A "Log Out" link is in the top right. Below the header, there are breadcrumb links: "Disclosure" > "Administration" > "Currently Overdue". The main content area is titled "Registered Filers Summary" and includes a "DAEO" dropdown menu and a "How Do I..." help button. The "Select an Org Unit and Scope" section shows "Org Unit: My Orgs" with a dropdown set to "TRAINING" and a "-SELECT-Next Level Down" button. There are two radio buttons: "Show Filers for TRAINING" (unselected) and "Show My Filers" (selected). A checkbox "Include Filers for Org Units assigned to other DAEOs" is checked. The "Set Report Filter" section has "Form Type" set to "OGE 450" and "Year" set to "2009", with a "Generate Report" button. The "Report Results" section shows a table with the following data:

Total OGE450 Filers: 72	
OGE450 Filers not yet assigned a 2009 report :	70
Submitted 2009 OGE450 reports :	0
Drafted 2009 OGE450 reports :	2
Not Started, assigned 2009 OGE450 reports :	70

A "Printer Friendly" icon is located to the right of the report results table.

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

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
Incumbent	4 1	25.00%	2	50.00%	0
Termination	0 0	0.00%	0	0.00%	0
Incumbent/Termination	0 0	0.00%	0	0.00%	0
Total	7 1	14.29%	4	57.14%	0

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.

Management Reports

266

Filers with no Disclosure Report

450 Certifier

Select an Org Unit and Scope

Org Unit: My Orgs > AMC HQ [-SELECT-Next Level Down]

Show Filers for AMC HQ
 Show My Filers Include Filers for Org Units assigned to other 450 Certifiers

Set Report Filter

Form Type: OGE 450 Year: 2009 [Generate Report]

These Filers have National Emergency/Combat Zone Extensions recorded for their reports with Unknown Return Dates.

Report Results

Org Unit	Filer	Filer E-mail	Reporting Status	Current Due Date	Assigned?	Certifier	450 CERTIFIER E-mail
AMC HQ	Hamilton_10, L	Lhamilton_10@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_2, L	Lhamilton_2@us.army.mil	Annual	--	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_3, L	Lhamilton_3@us.army.mil	Annual	--	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_4, L	Lhamilton_4@us.army.mil	Annual	03/19/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_5, L	Lhamilton_5@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_6, L	Lhamilton_6@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_7, L	Lhamilton_7@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_8, L	Lhamilton_8@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_9, L	Lhamilton_9@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
Total	9						

The Filer has a 30 day extension recorded for his/her report.

Printer Friendly

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

Financial Disclosure Management

My Reports
My Info
Review Reports
Admin
Management Reports
Resources
Log Out

Disclosure Administration

Supervisor's Org Units

DAE0 Change

➤ **Select Organization Unit and Scope**

Org Unit: My Orgs > OGC PSG III [-SELECT-Next Level Down]

 Show Filers for **OGC PSG III**

 Show **My** Filers Include Supervisors for Org Units assigned to other DAEOs

➤ **Set Report Filter**

Last Name Starts With: v
 Last Name:
 First Name:
Reset
Generate Report

➤ **Report Results** Printer Friendly

Supervisor's Name	Email	Assigned Org Unit	Org Unit's Senior Legal Counsel	No. of Members	No. of Filers	Org Unit has Sub Org Units?	Org Unit Location
Lee, Brock X	a_adams_7@us.army.mil	Baltimore RO	Pickney, E X	6	5	No	FDM->VA->OGC->OGC PSG III->RC 3->Baltimore RO
Lee, Brock X	a_adams_7@us.army.mil	Martinsburg WV VAMC	Pickney, E X	3	2	No	FDM->VA->OGC->OGC PSG III->RC 3->Martinsburg WV VAMC
Pickney, E X	e_pickney@us.army.mil	Baltimore VAMC	Pickney, E X	5	5	No	FDM->VA->OGC->OGC PSG III->RC 3->Baltimore VAMC
Pickney, E X	e_pickney@us.army.mil	OGC CFD filers	Pickney, E X	1	1	No	FDM->VA->OGC->OGC PSG III->VACO CFD or OGE 450->OGC CFD filers
Pickney, E X	e_pickney@us.army.mil	OGC PSG III	Pickney, E X	2	0	Yes	FDM->VA->OGC->OGC PSG III
Pickney, E X	e_pickney@us.army.mil	OGC/RC	Pickney, E X	7	5	No	FDM->VA->OGC->OGC PSG III->PFD or SF 278->OGC/RC
Pickney, E X	e_pickney@us.army.mil	OI&T (CO CFD filers)	Pickney, E X	7	3	No	FDM->VA->OGC->OGC PSG III->VACO CFD or OGE 450->OI&T (CO CFD filers)
Pickney, E X	e_pickney@us.army.mil	OI&T (PFD)	Pickney, E X	9	5	No	FDM->VA->OGC->OGC

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

Financial Disclosure Management

Log Out

[My Info](#) | [My Reviews](#) | [Admin](#) | [Ethics Training](#) | [Management Reports](#) | [Resources](#)

[Disclosure](#) | [Administration](#) | [Currently Overdue](#)

Currently Overdue OGE 450 Annual Reports as of 03/17/2009

DAEO

Instructions: Generate this report to see a list of assigned Annual OGE 450 Reports that have not been submitted (i.e., e-signed) by the filer as of today's date. The presumptive Annual OGE 450 Report due date is mid-February.

Search

Total Number of Overdue Reports: 69

Report Results

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						
Javs 7, P X	Sledd, Bob X		02/17/2009	N		N
Javs 8, P X	Sledd, Bob X		02/17/2009	N		N
Javs 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						
Culador, 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

Review Progress Summary – Success Score

450 Certifier [Change](#) [Report Help...](#)

[Generate Report](#) [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:

Report Year	Total Reports Assigned (not admin closed)	Not Submitted		Submitted by Filer		
		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):

Report Year	Not Complete No Initial Review		Not Complete With Initial Review		Completed		
	<= 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

Security and Privacy Notice | Help | Accessibility | Developed by: CECOM LCMC

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.

FDM_TRAIN Test System
Financial Disclosure Management

My Reports My Info Review Reports Admin Management Reports Resources Log Out

Disclosure Administration

Select Disclosure Report

1. [Disclosure Report Summary](#)
2. [Disclosure Report Detail](#)
3. [Filers with No Disclosure Reports](#)

2. Select the type of Management Report you wish to generate:
 - Disclosure
 - Administrative
 - Currently Overdue

Disclosure Report Detail

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](#)

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

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	2	1	0	0	0	0

Summary Results

Reporting Status	Total	Draft	Under Review	Submitted to DAEO	Complete
New Entrant	0	0	0.00%	0	0.00%
Incumbent	4	0	0.00%	3	75.00%
Termination	0	0	0.00%	0	0.00%
Incumbent/Termination	0	0	0.00%	0	0.00%
Total	4	0	0.00%	3	75.00%

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; Show My Filers;
 Include Filers for Org Units assigned to other Supervisors
 Form Type: SF 278; Year: 2008; Reporting Status: All; Review Status: All

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	0

Reporting Status	Total	Draft	Under Review	Submitted to DAEO	Complete
New Entrant	0	0	0.00%	0	0.00%
Incumbent	4	0	0.00%	3	75.00%
Termination	0	0	0.00%	0	0.00%
Incumbent/Termination	0	0	0.00%	0	0.00%
Total	4	0	0.00%	3	75.00%

8. Click **Print** to print your report at your local printer.



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**.

Record Ethics Training - Allows you to record the training information for the selected Filers such as the date the training was completed and the type of training that was provided.

Notify Filers - Allows you to send an e-mail notification to selected Filers of their requirement to attend ethics training.

Record Exception - Allows you to record if a Filer's ethics training was waived for a specific calendar year.

Select/Clear All	Name	Training Type	Org Unit	Filer Role(s)	
<input type="checkbox"/>	Hamilton 1, L X	Annual	AMC HQ	OGE 450 Filer	Record Exception
<input type="checkbox"/>	Hamilton 10, L X	Annual			Record Exception
<input type="checkbox"/>	Hamilton 2, L X	Annual			Record Exception
<input type="checkbox"/>	Hamilton 3, L X	Annual	AMC HQ	OGE 450 Filer	Record Exception
<input type="checkbox"/>	Hamilton 4, L X	Annual	AMC HQ	OGE 450 Filer	Record Exception
<input type="checkbox"/>	Hamilton 5, L X	Annual	AMC HQ	OGE 450 Filer	Record Exception
<input type="checkbox"/>	Hamilton 6, L X	Annual	AMC HQ	OGE 450 Filer	Record Exception
<input type="checkbox"/>	Hamilton 7, L X	Annual	AMC HQ	OGE 450 Filer	Record Exception
<input type="checkbox"/>	Hamilton 8, L X	Annual	AMC HQ	OGE 450 Filer	Record Exception

2. On the breadcrumb trail, select the Org Unit of the Filers you wish to notify, or select **Show 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.

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Notify Filers

To:

CC: (Optional)

Subject:

Message:

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.

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Record Ethics Training Completion

Calendar Year: 2009
Agency: USARMY
Date of Training: 7 / 15 / 2009 (mm/dd/yyyy)

Training Method(s): (Check all that apply)

- Classroom instruction
- Satellite/Videoconference
- Computer/web-based training
- Individual briefing
- Written Materials
- Summaries of the Standards of Conduct
- Copies of the Standards of Conduct and/or agency supplemental regulations
- Newsletters
- Pamphlets/Brochures
- Self-study manual
- Hypothetical case studies
- Agency produced videos
- OGE produced videos
- Other

Describe:

(100 Characters Remaining of 100)

Record Ethics Training For:	
Name	E-Mail Address
Board, Bill	r_price_27@us.army.mil
Coone, Ty X	training_450_3@us.army.mil
Culador, Cal X	r_price_5@us.army.mil

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.

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Filers Trained - Current Calendar Year 2009

Senior Legal Counsel

Org Unit: My Orgs. » TRAINING -SELECT-Next Level Down

Show Filers for TRAINING
 Show My Filers Include Filers for Org Units assigned to other Senior Legal Counsels

Search

Last Name Starts With: [v] Last Name: [] First Name: []

[Search] [Reset]

1 to 3 of 3 Items per page: 100 [v] 1

Remove Ethics Training

Select/Clear All	Name ^	Training Type	Org Unit	Filer Role(s)	
<input type="checkbox"/>	Board, Bill	Initial	CERDEC	OGE 450 Filer	[View/Edit]
<input type="checkbox"/>	Coone, Ty X	Initial	Dir of Contracts	OGE 450 Filer	[View/Edit]
<input type="checkbox"/>	Culador, Cal X	Initial	Michelle Training	OGE 450 Filer	[View/Edit]

1 to 3 of 3 Items per page: 100 [v] 1

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.

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Ethics Training for Filer: Board, Bill

View/Edit Ethics Training Completion

Calendar Year: 2009 **Training Type:** Initial Annual

Agency: USARMY

Date of Training: / / 2009 (mm/dd/yyyy)

Training Method(s): Classroom instruction
(Check all that apply)

- Satellite/Videoconference
- Computer/web-based training
- Individual briefing
- Written Materials
- Summaries of the Standards of Conduct
- Copies of the Standards of Conduct and/or agency supplemental regulations
- Newsletters
- Pamphlets/Brochures
- Self-study manual
- Hypothetical case studies
- Agency produced videos
- OGE produced videos
- Other

Describe:

(100 Characters Remaining of 100)

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.

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Filers Trained - Current Calendar Year 2009

Senior Legal Counsel

Org Unit: My Orgs > TRAINING -SELECT-Next Level Down

Show Filers for TRAINING
 Show My Filers Include Filers for Org Units assigned to other Senior Legal Counsels

Search Last Name Starts With [Search] [Reset]

Windows Internet Explorer

You are about to remove Ethics Training record for the selected Filer(s).
Click 'OK' to confirm removal or 'Cancel' to cancel this action.

OK Cancel

1 to 3 of 3

Remove Ethics Training

Select/Clear All	Name ▲	Training Type	Org Unit	Filer Role(s)	
<input checked="" type="checkbox"/>	Board, Bill	Initial	CERDEC	OGE 450 Filer	View/Edit
<input type="checkbox"/>	Coone, Ty X	Initial	Dir of Contracts	OGE 450 Filer	View/Edit
<input type="checkbox"/>	Culador, Cal X	Initial	Michelle Training	OGE 450 Filer	View/Edit

1 to 3 of 3 Items per page: 100 1

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.

The screenshot shows the 'Financial Disclosure Management' interface. The 'Admin' tab is selected, and the 'Not Trained' sub-tab is active. The page title is 'Filers Not Trained - Current Calendar Year 2009'. The organization is 'Senior Legal Counsel'. The 'Org Unit' is set to 'TRAINING'. A modal dialog box titled 'Windows Internet Explorer' is open, displaying the following text:

Excusal from Annual Ethics Training should be rare. OGE sets forth limited training exceptions:
 SF 278 Filers see 5 CFR 2638.704(e)
http://edocket.access.gpo.gov/cfr_2008/janqtr/5cfr2638.704.htm
 For OGE Form 450 Filers see 5 CFR 2638.705(d)
http://edocket.access.gpo.gov/cfr_2008/janqtr/5cfr2638.705.htm

The dialog box has 'OK' and 'Cancel' buttons. Below the dialog, a table lists filers with checkboxes and 'Record Exception' buttons.

Select/Clear All	Name ▲	Training Type	Org Unit	Filer Role(s)	
<input type="checkbox"/>	278 6, Training X	Annual	Don's Org Unit	OGE 450 Filer	Record Exception
<input type="checkbox"/>	278 7, Training X	Annual	Don's Org Unit	SF 278 Filer	Record Exception
<input checked="" type="checkbox"/>	Dave, Holly X	Annual	AMC	SF 278 Filer	Record Exception
<input type="checkbox"/>	Feathers, Robin	Annual	RDECOM	OGE 450 Filer	Record Exception
<input type="checkbox"/>	Flowers, Mae	Annual	CFRDEC ASD	OGE 450 Filer	Record

4. Click **OK**. The Record Ethics Training Exception screen is displayed.

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Record Ethics Training Exception

Calendar Year: 2009 **Training Type:** Initial Annual

Agency: USARMY

Reason for Exception: (Limit 150 characters)

(150 Characters Remaining of 150)

Record Ethics Training For:

Name	E-Mail Address
Daye, Holly X	l_hamilton_22@us.army.mil

Excusal from Annual Ethics Training should be rare. OGE sets forth limited training exceptions:

SF 278 Filers see 5 CFR 2638.704(e)
http://edocket.access.gpo.gov/cfr_2008/janqtr/5cfr2638.704.htm

For OGE Form 450 Filers see 5 CFR 2638.705(d)
http://edocket.access.gpo.gov/cfr_2008/janqtr/5cfr2638.705.htm

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.

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Not Trained Trained **Exceptions**

Ethics Training Exceptions

Senior Legal Counsel

Org Unit: My Orgs » TRAINING -SELECT-Next Level Down

Show Filers for TRAINING
 Show My Filers Include Filers for Org Units assigned to other Senior Legal Counsels

Search

Last Name Starts With: Last Name: First Name:

Search Reset

1 to 1 of 1 Items per page: 100 1

Remove Exception

Select/Clear All	Name ^	Org Unit	Filer Role(s)	Reason for Exception	
<input type="checkbox"/>	Dave, Holly X	AMC	SF 278 Filer	Filer located in remote location.	View/Edit

1 to 1 of 1 Items per page: 100 1

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.

Financial Disclosure Management

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Not Trained | Trained | Exceptions

Ethics Training Exceptions

FOR Senior Legal Counsel

Org Unit: My Orgs » TRAINING -SELECT-Next Level Down

Show Filers for TRAINING
 Show My Filers Include Filers for Org Units assigned to other Senior Legal Counsels

Search

Windows Internet Explorer

You are about to remove Ethics Training Exception record for the selected Filer(s). Click 'OK' to confirm removal or 'Cancel' to cancel this action.

Remove Exception					
Select/Clear All	Name ▲	Org Unit	Filer Role(s)	Reason for Exception	
<input checked="" type="checkbox"/>	Dave, Holly X	AMC	SF 278 Filer	Filer located in remote location.	View/Edit

1 to 1 of 1 Items per page: 100

- 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.

Financial Disclosure Management

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Not Trained | Trained | Exceptions

Ethics Training for Filer: Daye, Holly X

View/Edit Ethics Training Exception

Calendar Year: 2009 Training Type: Initial Annual

Agency: USARMY

Reason for Exception: (Limit 150 characters)

Filer located in remote location.

(117 Characters Remaining of 150)

Excusal from Annual Ethics Training should be rare. OGE sets forth limited training exceptions:

SF 278 Filers see 5 CFR 2638.704(e)
http://edocket.access.gpo.gov/cfr_2008/ianqtr/5cfr2638.704.htm

For OGE Form 450 Filers see 5 CFR 2638.705(d)
http://edocket.access.gpo.gov/cfr_2008/ianqtr/5cfr2638.705.htm

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 CFR 2634.603 \(g\)](#) 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.

FDM TRAIN Test System
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Filers | Review Reports | Manage Exceptions | Expired Reports

Purge Expired Reports

DAEO [? How Do I...](#)

- ◆ Click "Search" to view your expired reports.
- ◆ Change "Expiration Date" to display reports expired as of a different date (up to 60 days from today's date).
- ◆ Click "Purge Expired Reports" to purge all reports not retained.
- ◆ **Important: You must enter an Expiration Date on or earlier than today's date to activate the "Purge Expired Reports" button.**

Search

Form Type: SF 278 Expiration Date: 07/12/2011 (MM/DD/YYYY)

! If you have any retained reports ready to be purged - Access the reports on the My Review | Review Reports tab, Org Unit View mode. View the report, click on its Review Status tab, and click the "Unretain" button to make a retained report available to be purged.

My Expired Reports as of: 07/12/2011

Total Number of Reports Not Retained: 1

Filer	Report	Status	Expire Date	Retained
278Filer1, OGC	2005 New Entrant SF 278	Under Review	01/03/2010	Yes
278Filer2, OGC	2005 Incumbent SF 278	Under Review	01/03/2010	No

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.

The screenshot shows the 'Review Status' page for a report titled 'Submitted to DAEO - OGC 278Filer1, 2006 New Entrant (09/15/2006) SF 278 Report'. The 'Report Progress' section shows the report is not assigned, started on 07/12/2011, eSigned and Submitted on 01/01/2004, amended, submitted for certification on 07/12/2011, and not completed. The 'Retained' checkbox is checked, and the 'Retain' button is visible. A 'Due Date & Extensions' section shows the current due date as 09/15/2006 and no extensions recorded. A warning dialog box is overlaid on the screen, stating: 'You have elected to retain this report. The retained report shall be excluded from any purge or delete action. Please add a report comment to indicate the reason for the retention and the duration, if known.' Below the dialog is a table of reviewer roles.

Reviewer Role	Current	Organization	Start Date	End Date
Supervisor	Public			
Supervisor SLC	Brock X Lee	Organization		
Senior Legal Counsel	Brock X Lee	Organization	07/12/2011 Lee, Brock X. Senior Legal Counsel	07/12/2011 Lee, Brock X. Senior Legal Counsel
DAEO	DemoOGC X DAEO	Organization		