Supplement to OGE Form 450 **U.S. Department of Housing and** **Urban Development**

**Confidential Financial Disclosure Report** Page 1 of 2

Employee’s Name:

Employee’s Position:

Employee’s Organization:

Part A: Supplemental Disclosures for All HUD Employees

1. Do you (your spouse or minor children) have any securities issued by **Yes No**

or backed by the Federal National Mortgage Association or the Federal Home Loan

Mortgage Corporation?

1. Do you (your spouse or minor children) have any financial interests in:
2. Any FHA program?
3. Section 8 program?
4. Any other HUD subsidy, grant or loan program such as Section 312, the CDBG

rehabilitation program, or Section 203 Mortgage Insurance program?

1. A publicly traded or publicly available investment fund which concentrates its

investments in, or is backed by, residential mortgages, except those of GNMA?

1. Any direct creditor interest in a HUD insured mortgage?
2. Do you participate in the conduct of a business dealing with real estate, such as real estate

sales, property management, property development, mortgage lending, appraisal services,

construction financing, architecture, engineering or land planning?

1. Are you a general partner in a partnership, or an officer, director, or employee of a business

which owns or is otherwise involved in real estate (e.g. real estate sales, property

management, or property development)?

1. Do you hold stock or another financial interest in an entity which is, to your knowledge,

doing business with the Department or receiving HUD assistance?

1. Do you have any outside employment or other business arrangement with a person or entity

which does business with or lobbies the Department, or do you serve on a board or panel or

in another position with a state or local government?

If you answered “Yes” to any of the questions above, please explain them in the space provided on Page 2

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**Note: Sign Certification on Page 2**

The OGE Form 450 Confidential Financial Disclosure Report is used by all agencies in the executive branch of the Federal government. With the approval of the U.S. Office of Government Ethics (OGE), the Department may require that employees complete a supplemental disclosure form to ensure compliance with the Agency’s supplemental standards of conduct regulation. The Department has promulgated its supplemental standards of conduct at 5 C.F.R. Part 7501. In order to implement this regulation, OGE has given the Department authority to require HUD employees to disclose additional information.

**PART A: Supplemental Disclosures for all HUD employees filing**

**OGE Form 450**

In addition to the information disclosed on the OGE Form 450, **ALL HUD** **employees** required to file an OGE Form 450 must disclose the information required by Part A of this supplemental form. Unlike the OGE Form 450 which has a $1,000 threshold for assets, filers must report “any” financial interests on this form, regardless of value.

If you responded “Yes” to questions #1, or #2, please describe the interest in detail indicating the type and extent of the interest, name and address of each property, the HUD program involved, and the date the interest was acquired, as appropriate. If you respond “Yes” to questions #3, #4, #5, or #6, please describe your position or outside activity indicating the name and nature or type of business of the organization with whom you serve. Please provide the additional information in the space provided on page 2. Add additional plain pages as needed.  ***Please sign the report on page 2.*** Attach this form to the OGE 450 Confidential Financial Disclosure Report.

Supplement to OGE Form 450 **U.S. Department of Housing and Urban Development**

**Confidential Financial Disclosure Report** Page 2 of 2

**PART B: Additional Disclosures for "Covered" HUD Employees under 5 C.F.R. § 7501.106**

**Covered Employees**. Please answer the following questions if (1) you have been designated in writing by the Department to be a "covered employee" under 5 C.F.R. § 7501.106, or (2) you work in one of the following offices, or (3) you supervise a covered employee working in one of the following offices:

1. Office of the Secretary (except the Office of Lead Hazard Control);
2. Office of Federal Housing Enterprise Oversight;
3. Office of the Assistant Sec. for Housing-Fed. Housing Commissioner;
4. Office of Financial Institutions Regulation in the Office of PD&R,
5. Offices of Investigations, Program Standards and Evaluation, and Fed. Coordination in the Office of Fair Housing and Equal Opportunity;
6. Office of Insured Housing, GSE-RESPA Division, Office of Legislation

and Regulation, and Fair Housing and Equal Opportunity in the Office of General Counsel;

1. Office of the Inspector General.

Unlike the OGE Form 450 which has a $1,000 threshold for assets, filers must report ***any*** financial interests on this form, regardless of value.

**Definitions**

**Mortgage Institution** means mortgage bankers, mortgage brokers, banks, savings and loans, and other institutions or entities that originate, insure, or service mortgages that are owned or guaranteed by the Federal National Mortgage Association (FNMA) or the Federal Home Loan Mortgage Corporation (FHLMC).

**Percentages** should be determined using the mortgage institution’s most recent financial statement.

**Privacy Act Notice:** Title I of the Ethics in Government Act of 1978 (5 U.S.C. App), Executive Order 12674, and 5 C.F.R. Part 2634, Subpart I, of the Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this form is for review by Government officials of your agency, to determine compliance with applicable Federal conflict of interest laws and regulations. Additional disclosures of the information on this report may be made: (1) to a Federal, State or local law enforcement agency if the disclosing agency becomes aware of a violation or potential violation of law or regulation; (2) to a court or party in a court or Federal administrative proceeding if the Government is a party or in order to comply with a judge-issued subpoena; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or decision; (4) to the National Archives and Records Administration or the General Services Administration in record management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; and (6) in a judicial or administrative proceeding, if the information is relevant to the subject matter. This confidential report will not be disclosed to any requesting person unless authorized by law.

Part B: Additional Disclosure for Covered HUD Employees

**Note: *Do not complete this part if your position is not in the offices listed in the left column.***

1. Do you (your spouse or minor children) -- or any general partnership, limited partnership, **Yes No**

closely held corporation, trust, investment club, or other entity in which you (your spouse or

minor children) hold an interest -- have any financial interests in a mortgage institution:

a. In which more than 20 percent of the institution's assets consist of mortgages?

b. In which 20 percent or less of the institution's assets consist of mortgages and more

than 40 percent of the mortgages originated by the institution are issued, collateralized,

sold, or guaranteed by FNMA and/or FHLMC?

c. In which more than 20 percent of the gross income of the institution is derived from

servicing and/or insuring mortgages?

2. Do you (your spouse or minor children) own any mutual fund, or interest in an investment

fund or profit sharing plan which in its prospectus indicates an objective or practice of

concentrating its investments in the financial services sector?

3. Do you have any outside employment with or on behalf of a mortgage institution or any of

its affiliates?

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If you answered "Yes" to any of the questions in Part A or Part B above, please describe them in the spaces below. Use additional pages as required.

**I certify that the responses I have made are true, complete, and correct to the best of my knowledge and belief.**

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Employee’s Signature