

USDA OFFICE OF ETHICS – RESOLVING OGE 278e ERROR MESSAGES

Please complete the following steps to resolve the EIF and Business Employment Asset error messages:

A. Excepted Investment Fund (EIF)¹:

1. Go to the “Review Your Responses” screen.

Review Your Responses

You can now review the information that you entered on any screen by clicking on the link. If all errors have been corrected, please click "Proceed to Final Review" below.

Personal Information

- Name
- Work Information

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- Filing Information
- Government Positions
- Part 1 - Outside Positions Choice
- Assets and Income Choice
- Assets and Income Which Must Be Reported
- Assets and Income - Stocks (errors on page)
- Assets and Income - 401K (errors on page)
- Part 3 - Agreements or Arrangements Choice
- Part 7 - Transactions Choice
- Part 8 - Liabilities Choice
- Part 9 - Gifts, Reimbursements and Travel Expenses Choice

[Proceed to Final Review](#) [Start Over](#)

2. Select the radio button next to the mutual fund asset; select “Edit Selected.”

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Schedule A - Assets - Mutual Funds (EIF)

Name	Symbol	Value	Still Held?
<input type="radio"/> TIAA Traditional	TIAA Traditional	\$15,001 - \$50,000	Yes
<input type="radio"/> Cref Social Change	CREF	\$15,001 - \$50,000	Yes

[Add New](#) [Edit Selected](#)

[Go Back](#) [List Complete](#)

¹ An EIF is an investment vehicle which is:

1. widely held, 2. (a) publicly-traded (or available) **or** (b) widely diversified, **and**, 3. independently managed, that is, arranged so that the filer neither exercises control nor has the ability to exercise control over the financial interests held by the fund. (5 C.F.R. § 2634.310(c)) The most typical EIF is a mutual fund. Other EIFs include pooled investments such as, common trust funds of a bank or other financial institution, unit investment trusts, and limited partnerships *if* they meet the following: An investment must meet **either** 2(a) or 2(b), as well as 1 and 3 (above), to qualify as an EIF. A fund is widely diversified if it holds no more than 5% of the value of its portfolio in the securities of any one issuer (other than the United States Government) and no more than 20% in any particular economic or geographic sector.

For investments that qualify as EIFs, report for you, your spouse or dependent child, each fund by its specific name (e.g., Fidelity Large Growth Fund), along with the value range of share and the income range, if the fund value exceeded \$1,000 or income generated exceeded \$200 as of the close of the reporting period. However, you may omit an EIF's underlying holdings and the separate types of income (income, dividends, or capital gains). Check the EIF box whenever the corresponding asset qualifies. Otherwise, you must list each of the underlying holdings if the fund is not an EIF, such as an IRA or a managed account.

3. If the mutual fund qualifies as an EIF, check the EIF button; if the mutual fund does not qualify as an EIF, you must report the underlying holdings in the fund if at the close of the reporting period they meet the value and income thresholds (asset value exceeds \$1,000 or asset generated more than \$200 in income).

For a Mutual Fund, you must either (1) indicate it is an EIF by checking the EIF box or, (2) if the Mutual Fund is NOT an EIF, remove the Mutual Fund from the assets and enter it as a separate Investment Vehicle Mutual Fund so that you can enter its underlying assets. If you need assistance with this, please contact your ethics office for guidance. X

Schedule A - Assets - Mutual Funds (EIF)

Fields marked with an * are required.

Enter Mutual Funds worth more than \$1,000 at the end of the reporting period or that produced income greater than \$200 during the reporting period.

Enter the specific name of the Mutual Fund(s) you hold. Report the full name of the fund, not just the general family fund name.

Filer tip: If you have a Mutual Fund that is not in the lookup table provided, enter N/A in the Mutual Fund Symbol field and enter the full name of your Mutual Fund in the Name field.

Mutual Fund Symbol *

CREF

[Lookup](#)

Name *

Cref Social Change

Value *

\$15,001 - \$50,000



* 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.

Check here if this is an Excepted Investment Fund (EIF)

[Excepted Investment Fund \(EIF\) Help](#)

B. Assets Related to Business Employment:

1. On the "Review Your Responses" Page, click the Assets and Income Section link that indicates there are errors on the page:

Review Your Responses

You can now review the information that you entered on any screen by clicking on the link for that page. You will need to correct any "errors on page" prior to submitting forms. When all errors have been corrected, please click "Proceed to Final Review" below.

Personal Information

- [Name](#)
- [Work Information](#)

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- [Filing Information](#)
- [Government Positions](#)
- [Part 1 - Outside Positions Choice](#)
- [Assets and Income Choice](#)
- [Assets and Income Which Must Be Reported](#)
- [Assets and Income - Stocks \(errors on page\)](#)
- [Assets and Income - 401K \(errors on page\)](#)
- [Part 3 - Agreements or Arrangements Choice](#)
- [Part 7 - Transactions Choice](#)
- [Part 8 - Liabilities Choice](#)
- [Part 9 - Gifts, Reimbursements and Travel Expenses Choice](#)

- You will see an indication that “One of more assets or income is missing business employment details.” Select the radio button next to the asset with the “Business Employment” column blank and click “Edit Selected”:

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One or more assets or income is missing business employment details. ×

Assets and Income - Stocks

Name	Symbol	Value	Income Amount	Still Held?	Business Employment
<input checked="" type="radio"/> Agilent Technologies	A	\$1,001 - \$15,000	None (or less than \$201)	Yes	

- Indicate whether or not the asset is related to your outside business or employment (see example in the screenshot below). Once you have done so, click the blue “Continue” button at the bottom of the page.

Is this asset related to your employment (e.g. equity in business or partnership, stock options, retirement plans/accounts, deferred compensation, intellectual property, speaking fees, etc)? *

Yes
 No

Does not include assets or income from United States federal government employment or assets that were acquired separately from your business, employment, or other income generating activities (e.g., assets purchased through a brokerage account).

- The Business Employment Field should now be filled in. Please complete the process for any other assets missing that information. When you are done, click “List Complete” to move on.

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Assets and Income - Stocks

Name	Symbol	Value	Income Amount	Still Held?	Business Employment
<input type="radio"/> Agilent Technologies	A	\$1,001 - \$15,000	None (or less than \$201)	Yes	No

This should resolve the errors. Please do not hesitate to contact the Office of Ethics at DAEO.Ethics@oe.usda.gov if you continue to receive an error message and are unable to submit your report.