Form Approved
OMB No. 3209-0006

CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Executive Branch

Why Must I File?

The duties and responsibilities of your position require you to file the Confidential Financial Disclosure Report to avoid involvement in a real or apparent conflict of interest. The purpose of this report is to assist employees and their agencies in avoiding conflicts between official duties and private financial interests or affiliations. The information you provide will only be used for legitimate purposes, and will not be disclosed to any requesting person unless authorized by law. (See the Privacy Act Statement at the bottom of this page.) Please ensure that the information you provide is complete and accurate.

When Must I File?

New Entrants: The report is due within 30 days of your assuming a position designated for filing, unless your agency requests the report earlier or your agency grants you a filing extension.
Annual Filers: The report is due no later than February 15, unless your agency grants you a filing extension.

What is the Reporting Period?

New Entrants:
Part I – Report assets as of the date of filing but report sources of earned income, honoraria, and other non-investment income for the preceding 12 months.
Part II – Report liabilities as of the date of filing.
Part III – Report positions for the preceding 12 months.
Part IV – Report agreements and arrangements as of the date of filing.
Annual Filers: Report the required information for the preceding calendar year (January 1 – December 31).

What if I Have Questions?

If you have any questions about how to complete this form, please contact your ethics official or go to the Office of Government Ethics web site at www.oge.gov and select **OGE Form 450: Confidential Financial Disclosure Report** under **Forms Library.**

PENALTIES

Falsification of information or failure to file or report information required to be reported may subject you to disciplinary action by your employing agency or other authority. Knowing and willful falsification of information required to be reported may also subject you to criminal prosecution.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978 (5 U.S.C. app. 101), Executive Order 12674 (as modified by Executive Order 12731), and 5 CFR Part 2634, Subpart I, of the Office of Government Ethics (OGE) regulations require the reporting of this information. Failure to provide the requested information may result in separation or disciplinary action. 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 may be made pursuant to the routine uses set forth in OGE/GOVT-2: (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 when 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 in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) to the Department of Justice or in certain legal proceedings when OGE, an employee of OGE, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (7) to reviewing officials in a new office, department or agency when an employee transfers from one covered position to another; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; and (9) to contractors and other non-Government employees working for the Federal Government to accomplish a function related to this OGE Government-wide system of records. Note: When an agency is requested to furnish such records to OGE, such a disclosure is to be considered as made to those officers and employees of the agency which co-maintains the records who have a need for the records in the performance of their official duties in accordance with the Ethics in Government Act and other pertinent authority conferred on OGE, pursuant to the provisions of the Privacy Act at 5 U.S.C. 552a(b)(1). This confidential report will not be disclosed to any requesting person unless authorized by law. See also the OGE/GOVT-2 Executive Branch Confidential Financial Disclosure Reports Privacy Act system of records.

Public Burden Information

It is estimated that completing this form, including reviewing the instructions and gathering the data needed, takes an average of three hours. No private citizen is required to respond to a collection of information unless it displays a currently valid OMB control number as printed in the top right-hand corner of the first page of this form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Program Counsel, U.S. Office of Government Ethics, Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917. Do not send your completed OGE Form 450 to this address.

OGE Form 450, 5 CFR Part 2634, Subpart I
U .S. Office of Government Ethics (Jan. 2019)
Expires 11/30/21

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Date Received by Agency	Page Number

CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Executive Branch

Employee's Name (*Print last, first, middle initial*)	E-mail Address
Van Gosen, Bradley S	bvangose@usgs.gov

Position/Title	Grade
Research Geologist	14/7

Agency	Branch/Unit and Address
US Geological Survey (USGS)	MS 973, Box 25046, Denver Federal Center, Denver, CO 80129

Work Phone	Reporting Status	If New Entrant, Date of Appointment to Position (*mm/dd/yy*)
303-236-1566	New Entrant ☒ Annual ☐	

Check box if Special Government Employee (SGE) ☐	An SGE is an executive branch officer or employee who is retained, designated, appointed, or employed to perform temporary duties either on a full-time or intermittent basis, with or without compensation, for a period not to exceed 130 days during any consecutive 365-day period.

If an SGE, Mailing Address (*Number, Street, City, State, ZIP Code*)

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	**Yes** ☒	**No** ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	**Yes** ☐	**No** ☒
III. I have reportable outside positions for myself.	**Yes** ☐	**No** ☒
IV. I have reportable agreements or arrangements for myself.	**Yes** ☐	**No** ☒
NOTE: Statement V is for annual filers only. It does not apply to new entrants and SGEs. **V. I have reportable gifts or travel reimbursements for myself, my spouse, or my dependent children.**	**Yes** ☐	**No** ☐

Step 3: If you selected Yes for any statement, you must describe the reportable interests that you have in the corresponding Part (I, II, III, IV, or V) of the form.

Step 4: Sign and date the form.

Step 5: Submit the completed form to your ethics office.

I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.

Signature of Employee	Date (*mm/dd/yy*)
BRADLEY VAN GOSEN Digitally signed by BRADLEY VAN GOSEN Date: 2020.01.30 12:15:57 -07'00'	

FOR REVIEWERS' USE ONLY:

On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations, except as noted in the "comments" box below.	
Signature and Title of Supervisor/Other Intermediate Reviewer (*if required by the agency*)	Date (*mm/dd/yy*)
E-mail Address	Phone Number
Signature and Title of Agency's Final Reviewing Official	Date (*mm/dd/yy*)
Comments of Reviewing Officials (Check box if continued on additional page ☐)	

Save Print

Employee's Name (*Print last, first, middle initial*)	**Page Number**
Van Gosen, Bradley S	

Part I: Assets and Income

Report for Yourself, Spouse, and Dependent Child:	**Do Not Report:**
• Assets held for investment or the production of income that ended the reporting period with a value greater than $1,000. In addition, annual filers must report assets from which more than $1,000 in income was received during the reporting period. Reportable assets include, but are 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 family fund name) – Holdings of retirement plans, such as 401(k)s or IRAs, investment life insurance, or variable annuities (report each holding unless listed in the Do Not Report section) – Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent it out • U.S. Government Treasury bonds, bills, notes, and savings bonds • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund • Diversified funds within an employee benefit plan • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child
Also Report:	**Do Not Report:**
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, (2) honoraria greater than $1,000, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $1,000 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $1,000	• Dependent child's earned income • Veterans' benefits • Federal Government salary • Social Security benefits

Important Definitions

Diversified Mutual Fund – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.
Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
Diversified Fund within an Employee Benefit Plan – An employee benefit plan fund that has a written policy of varying investments without concentration in one industry, business, or single country other than the United States.
Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, **or** considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* You may distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.	**No longer held**
1 Colorado Allergy & Asthma Center Profit Sharing 401(k) Plan (managed by Wells Fargo)	☐
2	☐
3	☐
4	☐
5	☐

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Part I: Assets and Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) You may distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.	**No longer held**
1	☐
2	☐
3	☐
4	☐
5	☐
6	☐
7	☐
8	☐
9	☐
10	☐
11	☐
12	☐
13	☐
14	☐
15	☐
16	☐
17	☐
18	☐
19	☐
20	☐

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Employee's Name (*Print last, first, middle initial*)	**Page Number**

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	**Do Not Report:**
• If you are a new entrant filer, liabilities that exceeded $10,000 at the end of the reporting period • If you are an annual filer, liabilities that exceeded $10,000 during the reporting period	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

Reportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	**Type of liability** *(personal loan, margin account, etc.)*
1	
2	

Part III: Outside Positions

Report for Yourself:	**Do Not Report:**
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: – Corporation, partnership, trust, or other business entity – Non-profit or volunteer organization – Educational institution – State or Local Government	• Any position with a – Religious entity – Social entity – Fraternal entity – Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization *(include city and state where organization is located)*	**Type of organization**	**Position**	**No longer held**
1			☐
2			☐
3			☐
4			☐
5			☐
6			☐

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Van Gosen, Bradley S	

Part IV: Agreements or Arrangements

Report Your Agreements or Arrangements for:	**Do Not Report:**
• Continuing participation in an employee pension or benefit plan maintained by a current or former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a current or former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements • Continuing participation in a defined contribution plan, such as a 401(k) plan, to which an employer is no longer making contributions

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	**Terms of Agreement or Arrangement**
1	
2	
3	
4	

Part V: Gifts and Travel Reimbursements

Fill out this part only if you are filing an Annual Report. If you are a new entrant or an SGE, skip this part.

Report for Yourself, Spouse, and Dependent Child:	**Do Not Report:**
• Any gifts or travel reimbursements (items such as lodging, transportation, and food) totaling more than $390* from any one source during the reporting period; include where you traveled, the purpose, and date(s) of the trip for travel gifts and reimbursements *If you received more than one gift from one source: 1. Determine the value of each item you received from that source 2. Ignore each item valued at $156 or less 3. Add the value of those items valued at more than $156; if the total is more than $390, then you must list those items on this form	• Anything received from relatives, the U.S. Government, D.C., state, or local governments • Bequests and other forms of inheritance • Gifts and travel reimbursements given to your agency in connection with your official travel • Gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises • Anything received by your spouse or dependent child totally independent of their relationship to you

Reportable Information – Go to the last page to see examples of how to report gifts and travel reimbursements.

Source	**Description**
1	
2	
3	

Add Page

EXAMPLES

Part I: Assets and Income

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* You may distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.	**No longer held**
OGC Communications (OGC) *(Example of a stock with a ticker symbol)*	☐
OGE Energy *(Example of sold stock that produced more than $1,000 in income)*	☒
(S) OGE Energy bond *(Example of a corporate bond held by a spouse)*	☐
ABC Healthcare Fund *(Example of a sector fund held in a 401(k) plan)*	☐
Residential real estate, Anchorage, AK *(Example of investment real estate)*	☐
Bryggadune University – salary *(Example of earned income from a former employer)*	☒
(S) Express Medical Clinic – salary *(Example of a spouse's earned income from a current employer)*	☐
Association of Accountants – honorarium *(Example of a single honorarium from the listed source)*	☐

Part II: Liabilities

Name of creditor *(city and state)*	**Type of liability** *(personal loan, margin account, etc.)*
John Jones (Denver, CO)	Personal loan from a friend
ANW Investment Company (San Franciso, CA)	Margin account

Part III: Outside Positions

Organization *(city and state)*	**Type of organization**	**Position**	**No longer held**
Bryggadune University (Memphis, TN)	Educational institution	Professor	☒
ISK Family Trust (Boynton Beach, FL)	Family Trust	Trustee	☐
Scenic Rivers Association (Nashville, TN)	Non-profit environmental organization	Member, Board of Directors	☒

Part IV: Agreements or Arrangements

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	**Terms of Agreement or Arrangement**
Dee, Jones & Smith (San Diego, CA)	I will continue to participate in this defined benefit plan. *(Example of continuing participation in a defined benefit plan with a former employer)*
Hartford & Brown (San Diego, CA)	Employment agreement with Hartford & Brown. Starting work as attorney in July 2019. Entered into agreement in October 2018. (*Example of an agreement for future employment)*

Part V: Gifts and Travel Reimbursements

Source	**Description**
Dee, Jones & Smith	Leather briefcase *(Example of a gift totaling more than $390 from one source)*
CGH Culinary Institute	Airline ticket, hotel room, and meals incident to culinary seminar in Tokyo, Japan from May 1-5, 2018 *(Example of a travel reimbursement)*