New Entrant Report | U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001) (Updated July 2020) **Executive Branch Personnel** Public Financial Disclosure Report (OGE Form 278e) Filer's Information Utech, Dan Chief of Staff, AO, Environmental Protection Agency Date of Appointment: 01/20/2021 Other Federal Government Positions Held During the Preceding 12 Months: None Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge. /s/ Utech, Dan [electronically signed on 04/02/2021 by Utech, Dan in Integrity.gov] - Filer received a 45 day filing extension. 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 below). /s/ Fugh, Justina, Certifying Official [electronically signed on 04/05/2021 by Fugh, Justina in Integrity.gov] Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 04/05/2021

Data Revised 04/02/2021

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	ТО	
1	Yale School of the Environment		New Haven, Connecticut	University/Colleg e	Lecturer	8/2017	1/2021	
2	Consulting business (self-employed)	See Endnote	Washington, District of Columbia	Consulting Practice, sole proprietorship	Consultant	1/2017	1/2021	

# 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Yale School of the Environment	N/A		Salary	\$13,500
2	Consulting business (self-employed, sole proprietorship)	N/A		Consulting Fees	\$258,500
3	IRA #1	No			
3.1	Vanguard 500 Index Fund ETF (VOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	IRA #2	No			
4.1	Vanguard 500 Index Fund ETF (VOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)

# 3. Filer's Employment Agreements and Arrangements

# 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Yale School of the Environment	New Haven, Connecticut	I taught one class each academic year.
2	The Energy Foundation	San Francisco, California	I was a consultant to the Energy Foundation on environmental policy issues.
3	Center for Applied Environmental Law and Policy	Boulder, Colorado	I was a consultant to the CAELP on environmental policy issues.

## 5. Spouse's Employment Assets & Income and Retirement Accounts

DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
Wisconsin Department of Health Services	N/A		salary	
IRA	No			
AIG Government Money Market Fund - Class A (SMAXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
Volunteers of America, 403(b) plan	No			
American Funds EuroPacific Growth Fund - Class R6 (RERGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
BNY Mellon Midcap Index Fund - Investor Class (PESPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
ClearBridge Large Cap Growth Fund - Institutional Shares (LSITX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
	Wisconsin Department of Health Services  IRA  AIG Government Money Market Fund - Class A (SMAXX)  Volunteers of America, 403(b) plan  American Funds EuroPacific Growth Fund - Class R6 (RERGX)  BNY Mellon Midcap Index Fund - Investor Class (PESPX)  ClearBridge Large Cap Growth Fund -	Wisconsin Department of Health Services  N/A  IRA  No  AIG Government Money Market Fund - Class Yes A (SMAXX)  Volunteers of America, 403(b) plan  No  American Funds EuroPacific Growth Fund - Yes Class R6 (RERGX)  BNY Mellon Midcap Index Fund - Investor Class (PESPX)  ClearBridge Large Cap Growth Fund - Yes	Wisconsin Department of Health Services  IRA  No  AIG Government Money Market Fund - Class Yes \$1,001 - \$15,000 A (SMAXX)  Volunteers of America, 403(b) plan  American Funds EuroPacific Growth Fund - Yes \$1,001 - \$15,000 Class R6 (RERGX)  BNY Mellon Midcap Index Fund - Investor Yes \$1,001 - \$15,000 Class (PESPX)  ClearBridge Large Cap Growth Fund -	Wisconsin Department of Health Services  N/A  IRA  No  AIG Government Money Market Fund - Class Yes \$1,001 - \$15,000  Volunteers of America, 403(b) plan  American Funds EuroPacific Growth Fund - Class R6 (RERGX)  BNY Mellon Midcap Index Fund - Investor Class (PESPX)  ClearBridge Large Cap Growth Fund - Yes \$1,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	Delaware Value Fund - Institutional Shares (DDVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	American Funds American Balanced Fund - Class R6 (RLBGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	City of Phoenix, 457(b) plan	No			
4.1	American Funds EuroPacific Growth Fund - Class R6 (RERGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Phoenix Stable Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	City of Phoenix U.S. Large Cap Stock Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	City of Phoenix U.S. Mid Cap Stock Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Wisconsin Retirement System, 401(a) plan	No			
5.1	The Core Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential real estate, Washington, DC	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
2	U.S. credit union (cash)	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
3	CMFG Life Insurance Company, flexible premium variable universal life insurance policy (hybrid product)	No			

#	DESCRIPTION	EIF	VALUE INCOME T	YPE INCOME AMOUNT
3.1	Ultra Series Fund - Large Cap Value Fund	Yes	\$15,001 - \$50,000	None (or less than \$201)
3.2	Ultra Series Fund - Mid Cap Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)
3.3	T. Rowe Price International Stock Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)
4	U.S. brokerage account #1	No		
4.1	SPDR S&P 500 ETF Trust (SPY)	Yes	\$1,000,001 - \$5,000,000	\$15,001 - \$50,000
4.2	Vanguard 500 Index Fund ETF (VOO)	Yes	\$500,001 - \$1,000,000	\$5,001 - \$15,000
4.3	U.S. brokerage money market account (cash)	N/A	\$1,000,001 - Interest \$5,000,000	\$1,001 - \$2,500
5	U.S. brokerage account #2	No		
5.1	ProShares Russell 2000 Dividend Growers ETF (SMDV)	Yes	\$1,001 - \$15,000	None (or less than \$201)
5.2	SPDR S&P 400 Mid Cap Value ETF (MDYV)	Yes	\$1,001 - \$15,000	None (or less than \$201)
5.3	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000	None (or less than \$201)
5.4	SPDR S&P Aerospace & Defense ETF (XAR)	Yes	\$1,001 - \$15,000	None (or less than \$201)
5.5	iShares U.S. Home Construction ETF (ITB)	Yes	\$1,001 - \$15,000	None (or less than \$201)
5.6	Ingredion Incorporated (INGR)	N/A	\$1,001 - \$15,000	None (or less than \$201)
5.7	American Express Company (AXP)	N/A	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.8	Starbucks Corporation (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	Constellation Brands, Inc. (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	Vanguard 500 Index Fund ETF (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Stanley Black & Decker, Inc. (SWK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.12	AngloGold Ashanti Limited (AULGF) (gold mining company)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.13	Comcast Corporation (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.14	Mondi PLC (MONDF) (packaging and paper services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	Prosus N.V. (PROSF) (internet based services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.16	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	Hyster-Yale Materials Handling, Inc Class A common stock (HY) (material handling equipment company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	Hyster-Yale Materials Handling, Inc Class B common stock (material handling equipment company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.19	Qualcomm, Inc. (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.20	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.21	Corning, Inc. (GLW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.22	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	MTN Group Limited (MTNOF) (network information technology services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.24	Walt Disney Company (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.25	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.26	Naspers Limited (NAPRF) (consumer internet company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	International Business Machines Corporation (IBM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.28	Linde PLC (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.29	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.30	Amcor PLC (AMCR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.31	CSX Corporation (CSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.32	Anglo American PLC (XCGNF) (base metals, precious metals, and minerals global mining company)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.33	Anglo American Platinum Limited (AGPPF) (platinum group metals, base metals, and precious metals mining company)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.34	Boeing Company (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.35	Donaldson Company, Inc. (DCI)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.36	Intel Corporation (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.37	Paychex, Inc. (PAYX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.38	BlackRock Technology Opportunities Fund - Institutional Shares (BGSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.39	New Germany Fund, Inc. (GF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.40	Goldman Sachs Capital Growth Fund - Institutional Shares (GSPIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.41	Lord Abbett Mid Cap Stock Fund - Class F (LMCFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.42	MFS Research Fund - Class I (MRFIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.43	BlackRock Health Sciences Opportunities Portfolio - Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.44	Putnam Sustainable Leaders Fund - Class A (PNOPX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.45	American Century Small Cap Growth Fund	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.46	Abbvie, Inc. (ABBV)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.47	Abbott Laboratories (ABT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.48	Archer-Daniels-Midland Company (ADM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
5.49	Aflac, Inc. (AFL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
5.50	Church & Dwight Company, Inc. (CHD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.51	CVS Health Corporation (CVS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.52	Emerson Electric Company (EMR)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
5.53	Eversource Energy (ES)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.54	General Electric Company (GE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.55	Norsk Hydro ASA (NHYDY) (aluminium and renewable energy company)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.56	Nestle S.A. (NSRGY) (nutrition, health, and wellness company)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.57	Novartis International AG (NVS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.58	Procter & Gamble Company (PG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.59	Koninklijke Philips N.V. (PHG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.60	Koninklijke DSM N.V. (RDSMY) (health, nutrition, and materials company)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5.61	Waste Management, Inc. (WM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.62	Xcel Energy, Inc. (XEL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.63	Yara International ASA (YARIY) (chemical company)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.64	U.S. brokerage money market account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	U.S. Treasury bills	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
7. Tra	insactions				
(N/A) - N	Not required for this type of report				
8. Lia	bilities				
None					
9. Gift	ts and Travel Reimbursements				
(N/A) - N	Not required for this type of report				
Endno	otes				
PART	#	ENDNOTE			
1.	2	During the time that filer withen in Madison, WI from	vas consulting, he lived July 2019 to January 2	in Washington, DC t	from January 2017 to June 2019, a

## **Summary of Contents**

### 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

### 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

### 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

## 5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### 6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

#### 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

#### 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

### **Privacy Act Statement**

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal. State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding: (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record: (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

#### **Public Burden Information**

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, N.W., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).