

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Utech, Dan

Chief of Staff, Environmental Protection Agency

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 08/02/2021 by Utech, Dan in Integrity.gov]

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 08/03/2021 by Fugh, Justina in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 08/03/2021

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(08/03/2021, Fugh, Justina): Filer chose to over-report a number of transactions.

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	3M Co. (MMM)	Sale	06/29/2021	No	\$1,001 - \$15,000
2	Amazon.com, Inc. (AMZN)	Sale	06/29/2021	No	\$1,001 - \$15,000
3	Amcro plc (AMCR)	Sale	06/29/2021	No	\$1,001 - \$15,000
4	American Express Co. (AXP)	Sale	06/29/2021	No	\$1,001 - \$15,000
5	Anglo American Platinum Limited (AGPPF)	Sale	06/29/2021	No	\$1,001 - \$15,000
6	Anglo American, PLC	Sale	06/29/2021	No	\$1,001 - \$15,000
7	AngloGold Ashanti Limited (AULGF)	Sale	06/29/2021	No	\$1,001 - \$15,000
8	Apple, Inc. (AAPL)	Sale	06/29/2021	No	\$1,001 - \$15,000
9	BlackRock Health Sciences Opportunities Fund (SHSSX)	Sale	06/29/2021	No	\$1,001 - \$15,000
10	BlackRock Technology Opportunities Fund Institutional Shares (BGSIX)	Sale	06/29/2021	No	\$1,001 - \$15,000
11	Boeing Co (BA)	Sale	06/29/2021	No	\$15,001 - \$50,000
12	Comcast Corporation (CMCSA)	Sale	06/29/2021	No	\$1,001 - \$15,000
13	Constellation Brands, Inc. (STZ)	Sale	06/29/2021	No	\$1,001 - \$15,000
14	Corning, Inc. (GLW)	Sale	06/29/2021	No	\$1,001 - \$15,000
15	CSX Corporation (CSX)	Sale	06/29/2021	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
16	Donaldson Co., Inc. (DCI)	Sale	06/29/2021	No	\$15,001 - \$50,000
17	Facebook, Inc. (FB)	Sale	06/29/2021	No	\$1,001 - \$15,000
18	Fortune Brands Home & Security, Inc. (FBHS)	Sale	06/29/2021	No	\$1,001 - \$15,000
19	Goldman Sachs Capital Growth Fund Institutional Shares (GSPIX)	Sale	06/29/2021	No	\$1,001 - \$15,000
20	Hamilton Beach Brands Holding Co. (HBB)	Sale	06/29/2021	No	\$1,001 - \$15,000
21	Honeywell International, Inc. (HON)	Sale	06/29/2021	No	\$1,001 - \$15,000
22	Hyster-Yale Materials Handling, Inc. - Class A (HY)	Sale	06/29/2021	No	\$1,001 - \$15,000
23	Ingredion Incorporated (INGR)	Sale	06/29/2021	No	\$1,001 - \$15,000
24	Intel Corporation (INTC)	Sale	06/29/2021	No	\$15,001 - \$50,000
25	International Business Machines Corporation (IBM)	Sale	06/29/2021	No	\$1,001 - \$15,000
26	iShares U.S. Home Construction ETF (ITB)	Sale	06/29/2021	No	\$1,001 - \$15,000
27	Linde Plc (LIN)	Sale	06/29/2021	No	\$1,001 - \$15,000
28	Lord Abbett Mid Cap Stock Fund Inc Class A Shares (LAVLX)	Sale	06/29/2021	No	\$1,001 - \$15,000
29	MFS Research Fund - Class A	Sale	06/29/2021	No	\$1,001 - \$15,000
30	Mondi, PLC (MONDF)	Sale	06/29/2021	No	\$1,001 - \$15,000
31	MTN Group Limited (MTNOF)	Sale	06/29/2021	No	\$1,001 - \$15,000
32	Naspers Limited (NAPRF)	Sale	06/29/2021	No	\$1,001 - \$15,000
33	New Germany Fund, Inc (GF)	Sale	06/29/2021	No	\$1,001 - \$15,000
34	Paychex, Inc. (PAYX)	Sale	06/29/2021	No	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
35	Proshares Russell 2000 Dividend Growers ETF (SMDV)		Sale	06/29/2021	No	\$1,001 - \$15,000
36	Prosus N.V. (PROSF)		Sale	06/29/2021	No	\$1,001 - \$15,000
37	QUALCOMM, Inc. (QCOM)		Sale	06/29/2021	No	\$1,001 - \$15,000
38	SPDR S&P 400 Mid Cap Value ETF (MDYV)		Sale	06/29/2021	No	\$1,001 - \$15,000
39	SPDR S&P Aerospace & Defense ETF (XAR)		Sale	06/29/2021	No	\$1,001 - \$15,000
40	Stanley Black & Decker, Inc. (SWK)		Sale	06/29/2021	No	\$1,001 - \$15,000
41	Starbucks Corporation (SBUX)		Sale	06/29/2021	No	\$1,001 - \$15,000
42	Vanguard S&P 500 ETF (VOO)		Sale	06/29/2021	No	\$1,001 - \$15,000
43	Verizon Communications, Inc. (VZ)		Sale	06/29/2021	No	\$1,001 - \$15,000
44	The Walt Disney Co. (DIS)		Sale	06/29/2021	No	\$1,001 - \$15,000
45	Ameriprise Financial, Inc. (AMP)	See Endnote	Sale	06/29/2021	No	
46	AngloGold Ashanti Limited (AU)	See Endnote	Sale	06/29/2021	No	
47	AT&T, Inc. (T)	See Endnote	Sale	06/29/2021	No	
48	Diebold Nixdorf, Inc. (DBD)	See Endnote	Sale	06/29/2021	No	
49	Fluor Corporation (FLR)	See Endnote	Sale	06/29/2021	No	
50	iShares MSCI ACWI ex U.S. ETF (ACWX)	See Endnote	Sale	06/29/2021	No	
51	iShares MSCI Japan ETF (EWJ)	See Endnote	Sale	06/29/2021	No	
52	John Hancock Financial Opportunities Fund (BTO)	See Endnote	Sale	06/29/2021	No	
53	Louisiana Pacific Corporation (LPX)	See Endnote	Sale	06/29/2021	No	
54	Magellan Midstream Partners, LP (MMP)	See Endnote	Sale	06/29/2021	No	
55	Mitsubishi Chemical Holdings Corporation (MTLHF)	See Endnote	Sale	06/29/2021	No	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
56	MultiChoice Group Limited (MCOIF)	See Endnote	Sale	06/29/2021	No	
57	NCR Corporation (NCR)	See Endnote	Sale	06/29/2021	No	
58	New Germany Fund, Inc (GF)	See Endnote	Sale	06/29/2021	No	
59	Northrop Grumman Corporation (NOC)	See Endnote	Sale	06/29/2021	No	
60	ODP Corporation (ODP)	See Endnote	Sale	06/29/2021	No	
61	Resideo Technologies, Inc. (REZI)	See Endnote	Sale	06/29/2021	No	
62	SPDR KBW Regional Banking ETF (KRE)	See Endnote	Sale	06/29/2021	No	
63	TE Connectivity Limited (TEL)	See Endnote	Sale	06/29/2021	No	
64	Teradata Corporation (TDC)	See Endnote	Sale	06/29/2021	No	
65	Xerox Holdings Corporation (XRX)	See Endnote	Sale	06/29/2021	No	
66	Harmony Gold Mining Co. Limited (HGMCF)	See Endnote	Sale	06/30/2021	No	

Endnotes

PART	#	ENDNOTE
Transactions	45	The amount of the transaction was not more than \$1,000.
Transactions	46	The amount of the transaction was not more than \$1,000.
Transactions	47	The amount of the transaction was not more than \$1,000.
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PART	#	ENDNOTE
Transactions	52	John Hancock Financial Opportunities Fund (BTO)
Transactions	53	The amount of the transaction was not more than \$1,000.
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Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

[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.
