

CERTIFICATION OF COMPLIANCE WITH THE NRC'S SECURITY  
OWNERSHIP RESTRICTION UPON APPOINTMENT TO COVERED POSITION

I have been appointed, promoted, or transferred to a position that is covered by the NRC's security ownership restriction. Therefore, I certify to one of the following:

\_\_\_\_\_ I do not own, nor does my spouse or any of my minor children own, any stocks, bonds, or other security interests issued by an entity on the Commission's current prohibited securities list\*

\_\_\_\_\_ I own, or my spouse or my minor child owns, the following stocks, bonds, or other security interests that are on the Commission's current prohibited securities list

<u>Name of Prohibited Security</u> <i>(Attach additional sheet if necessary)</i>	<u>Quantity Owned (# of shares)</u>
_____	_____
_____	_____
_____	_____

I understand that, pursuant to 5 CFR 5801.102(d)(1), these security interests must be divested within 90 days from the date that I assumed a position subject to the security ownership restriction, or that I must seek a waiver from the prohibited securities rule in accordance with Management Directive 7.7. I also understand that I may not participate personally and substantially in particular matters affecting these entities until the divestiture of these securities has taken place. I will notify the Office of the General Counsel (OGC) in writing when the divestiture has been completed. (Send to: [Ethics.Resource@nrc.gov](mailto:Ethics.Resource@nrc.gov)).

I also understand that I may be eligible to defer the payment of capital gains tax associated with divestiture of these securities, but that I must contact OGC deputy ethics counselors before divestiture if interested in pursuing this option.

I further understand that the list of companies covered by the NRC's securities ownership restriction is updated annually. I will review these annual updates to ensure I do not own, and neither my spouse nor my minor child owns, securities in companies on the list. If so, I will divest the securities in accordance with 5 CFR 5801.102.

\_\_\_\_\_  
PRINT NAME

\_\_\_\_\_  
NRC OFFICE

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

\* The most up-to-date version of the NRC's prohibited securities list is publicly available at <https://www.nrc.gov/about-nrc/employment/ethics/list-prohibited-security.html>, as well as on the internal OGC ethics website (<http://drupal.nrc.gov/ogc/nrc-ethics>) under the "Prohibited Securities" tab