

## **NRC PROHIBITED SECURITIES LIST**

NRC employees who are covered by the Prohibited Securities rule (including the employee's spouse and minor children) may not own securities issued by an entity on this list, in any amount (5 CFR § 5801.102(a)).

Employees are reminded that the definition of "securities" for purposes of this restriction broadly encompasses "all interests in debt or equity instruments," including (but not limited to) all types of common and preferred stock, bonds, debentures, and derivative security interests, such as put and call options (see 5 CFR § 5801.102(c)(2)). Trading symbols, when provided, are derived from recent filings with the Securities and Exchange Commission and publicly-available shareholder documents identifying publicly-registered securities and are provided for convenience only. Trading symbols on this list may not be all-inclusive and are subject to change. **NRC employees are responsible for ensuring that they do not acquire securities from any of these entities regardless of whether the specific trading symbol is included on this list.**

Employees are also reminded that ownership of securities issued by entities *other than* those on this list, while not outright prohibited, can still create a conflict of interest if the employee participates personally and substantially in an NRC matter that will directly and predictably affect his or her financial interests (18 U.S.C. § 208; 5 CFR § 2635.402). Always contact an Ethics counselor if you have questions regarding financial conflicts of interest.

### **1. Nuclear Power Reactor Licensees and Applicants (including parent corporations)\*\***

Alabama Power Company (ALP/PQ)  
Allegheny Electric Cooperative, Inc.  
Ameren Corporation (AEE)  
American Electric Power Company, Inc. (AEP; AEP/PB)  
Arizona Public Service Company  
Avangrid, Inc. (AGR)  
Calvert Cliffs Nuclear Power Plant, LLC  
Central Iowa Power Cooperative  
City of Austin, TX  
City of Dalton, GA  
City of Riverside Utilities Department  
Comanche Peak Power Company, LLC  
Connecticut Yankee Atomic Power  
Company Cooperative Energy  
Corn Belt Power Cooperative  
CPS Energy  
Dairyland Power Cooperative  
Dominion Energy, Inc. (D; DRUA; DCUD; DCUE)  
Dominion Energy Nuclear Connecticut, Inc.  
Dominion Energy Kewaunee  
Dominion Nuclear North Anna, LLC  
DTE Electric Company

DTE Energy Company (DTE; DTQ; DTJ; DTY; DTW)  
Duke Energy Carolinas, LLC  
Duke Energy Corporation (DUK)  
Duke Energy Florida, LLC  
Duke Energy Progress LLC  
Edison International (EIX)  
El Paso Electric Company (EE)  
Emera Inc. (EMA)\*  
Emera Maine  
Energy Capital Partners  
Energy Northwest  
EnergySolutions, LLC  
Entergy Arkansas, LLC (EAB; EAE; EAI)  
Entergy Corporation (ETR)  
Entergy Louisiana, LLC (ELJ; ELU; ELC)  
Entergy Mississippi, LLC (EMP)  
Entergy Nuclear Generation Company  
Entergy Nuclear Indian Point 2, LLC  
Entergy Nuclear Indian Point 3, LLC  
Entergy Nuclear Operations, Inc.  
Entergy Nuclear Palisades, LLC  
Entergy Operations, Inc.  
Eversource Energy (ES)  
Exelon Corporation (EXC)  
Exelon FitzPatrick LLC  
Exelon Generation Company, LLC  
FirstEnergy Corporation (FE)  
FirstEnergy Nuclear Generation, LLC  
FirstEnergy Nuclear Operating Company  
Florida Municipal Power Agency  
Florida Power & Light Company  
Georgia Power Company (GPJA)  
Great Plains Energy  
Green Mountain Power Corporation  
Holtec International  
Holtec Pilgrim, LLC\*  
Holtec Decommissioning International, LLC\*  
Hudson Light & Power Department, MA  
Indiana Michigan Power Company  
Kansas City Power & Light Company  
Kansas Gas and Electric Company  
Kansas Electric Power Cooperative  
Long Island Power Authority  
Los Angeles Department of Water & Power  
Luminant Generation Company, LLC  
Maine Yankee Atomic Power Company  
Massachusetts Municipal Wholesale Electric Company  
MEAG Power SPVM, LLC  
MEAG Power SPVJ, LLC  
MEAP Power, SPVP, LLC  
MidAmerican Energy Company

Municipal Electric Authority of Georgia  
Nebraska Public Power District  
NextEra Energy Duane Arnold, LLC  
NextEra Energy Point Beach, LLC  
NextEra Energy Seabrook, LLC  
NextEra Energy, Inc. (NEE)  
Nine Mile Point Nuclear Station, LLC  
North Carolina Electric Membership Corporation  
North Carolina Municipal Power Agency  
Northern States Power Company (NSP-Minnesota)  
NorthStar Group Services, Inc.  
NorthStar Vermont Yankee, LLC  
NRG Energy, Incorporated (NRG)  
NRG South Texas LP  
Nuclear Development, LLC\*  
Nuclear Innovation North America, LLC (also known as NINA)  
Oglethorpe Power Corporation  
Old Dominion Electric Cooperative  
Omaha Public Power District  
Ohio Edison Company  
Orlando Utilities Commission, FL  
Pacific Gas & Electric Company  
PG&E Corporation (PCG)  
Piedmont Municipal Power Agency  
Pinnacle West Capital Corporation (PNW)  
Progress Energy Carolinas, Inc.  
Public Service Company of New Mexico (also known as PNM)  
Public Service Enterprise Group, Inc. (also known as PSEG) (PEG)  
PSEG Power, LLC  
PSEG Nuclear, LLC  
R.E. Ginna Nuclear Power Plant, LLC  
Riverstone Holdings, LLC  
Rockwell Holdco, Incorporated  
Salt River Project Agricultural Improvement & Power District  
San Diego Gas & Electric Company  
SCANA Corporation  
Sempra Energy Corporation (SRE; SREPRA; SREPRB; SREA)  
South Carolina Electric & Gas Company  
South Carolina Public Service Authority (Santee Cooper)  
Southern California Edison Company (SCEpB; SCEpC; SCEpD; SCEpE)  
Southern California Public Power Authority  
Southern Company (SO; SOJA; SOJB; SOJC)  
Southern Nuclear Operating Company  
STP Nuclear Operating Company  
Susquehanna Nuclear, LLC  
System Energy Resources, Inc.  
Taunton Municipal Lighting Plant, MA  
Tennessee Valley Authority  
Toledo Edison Company  
Union Electric Company (doing business as Ameren Missouri)  
Virginia Electric & Power Company  
Vistra Energy Corporation (VST)

Vistra Operations Company, LLC  
Westar Energy  
Wolf Creek Nuclear Operating Corporation  
Xcel Energy, Incorporated (XEL)  
Yankee Atomic Electric Company  
Zion Solutions, LLC

## **2. Manufacturers/Vendors of Power or Test Reactors**

BWXT Nuclear Operations Group  
BWXT Technologies (BWXT)  
EDF Group\*  
Framatome  
General Atomics  
General Electric Company (GE)  
GE-Hitachi Nuclear Energy  
Hitachi Ltd.  
IHI Corporation  
Korea Electric Power Corporation (KEP)  
Korea Hydro & Nuclear Power Company  
Mitsubishi Heavy Industries, Ltd.  
NuScale Power  
Oklo Inc.\*  
Westinghouse Electric Company  
WEC TEC

## **3. Architectural Engineering Companies**

BWXT Nuclear Energy, Inc.  
Bechtel  
Black & Veatch  
Enercon\*  
Fluor (FLR)  
NAC International Inc.  
Sargent & Lundy

## **4. Fuel Cycle-Related Applicants, Certificate of Compliance Holders, and Licensees**

American Centrifuge Operating, LLC\*  
American Nuclear Corporation  
Azarga Uranium Corporation  
Barrick Gold Corporation (GOLD)\*  
Brookfield Asset Management (BAM)  
Brookfield WEC Holdings, Inc.  
Cameco Corporation (CCJ)  
Centrus Energy Corporation (LEU)  
Crow Butte Resources, Incorporated  
Environmental Properties Management, LLC  
Fansteel, Inc.  
FMRI  
GE-Hitachi Global Laser Enrichment, LLC  
Global Nuclear Fuel – Americas, LLC  
Homestake Mining Company of California  
Honeywell International, Inc. (HON)

Interim Storage Partners LLC  
International Isotopes, Incorporated  
Laramide Resources Ltd  
Lightbridge Corporation (LTBR)  
Louisiana Energy Services\*  
Nuclear Fuel Services, Inc.  
NuFuels, Inc.  
Northwest Medical Isotopes  
Orano CIS LLC  
Orano USA  
Powertech Uranium Corp.  
RIO Algom Mining LLC  
Silex Systems Limited\*  
Sequoyah Fuels Corporation\*  
United Nuclear Corporation\*  
URENCO USA  
Valhi, Inc. (VHI)  
Waste Control Specialists, LLC  
X-Energy

#### **5. Energy or Utility Sector Investment Funds\*\*\***

American Century Utilities Fund (BULIX)  
Cushing Utility & MLP ETF (XLUY)\*  
Fidelity Advisor Utilities Fund (FUGAX)  
Fidelity MSCI Utilities Index ETF (FUTY)  
Fidelity Select Utilities Portfolio (FSUTX)  
Fidelity Telecom and Utilities Fund (FIUIX)  
First Trust EIP Carbon Impact ETF (ECLN)\*  
First Trust Utilities AlphaDEX Fund (FXU)  
First Trust Utilities Select Portfolio  
Franklin Utilities Fund (FKUQX, FKUTX, FRUAX, FRUSX, FRURX, FUFrx)  
Gabelli Utility Fund (GAUAX; GAUCX; GABUX; GAUIX)  
Gabelli Utility Trust (GUT)  
Global X Uranium ETF (URA)  
Guggenheim Utilities Portfolio  
Hennessy Gas Utility Fund (GASFX; HGASX)  
ICON Utilities Fund (ICTUX; ICTVX)  
Invesco DWA Utilities Momentum ETF (PUI)  
Invesco S&P 500 Equal Weight Utilities ETF (RYU)  
iShares US Utilities ETF (IDU)  
iShares Global Utilities ETF (JXI)  
John Hancock Multifactor Utilities ETF (JHMU)  
MFS Utilities Fund (MMUFX; MMUBX; MMUCX; MMUIX; MMUGX; MURRX; MMUHX;  
MMUJX; MMUKX)  
PGIM Jennison Utility Fund (PRUAX; PRUTX; PCUFX; PRUQX; PRUZX; JDURX)  
ProShares Ultra Utilities (UPW)  
Rydex Utilities Fund (RYUTX; RYCUX; RYUIX; RYAUX)  
Utilities Select Sector SPDR Fund (XLU)  
Utilities UltraSector ProFund (UTPIX; UTPSX)  
VanEck Vectors Uranium+Nuclear Energy ETF (NLR)  
Vanguard Utilities ETF (VPU)

Vanguard Utilities Index Fund (VUIAX)  
Virtus Reaves Utilities ETF (UTES)  
Wells Fargo Utility & Telecommunications Fund (EVUAX; EVUCX; EVUYX; EVUDX)

\* Indicates that entry was added with this update to prohibited securities list

\*\* Securities issued by any units of state or local governments on this list are only prohibited if the primary purpose of the security (e.g. bonds) is to finance the construction or operation of a nuclear reactor or low-level waste facility (5 CFR 5801.102(b)(2)). Bonds or other financial instruments issued for other purposes are not prohibited.

\*\*\* This list is compiled based on a recent Office of the General Counsel review of energy and utility mutual fund reports and prospectuses which show that at least 25% of the assets of each fund are entities in the first four categories of this list (5 CFR 5801.102(b)(8)).

If you believe an entity or fund is missing or has been incorrectly placed on this list please [contact an ethics counselor](#).