



HITACHI

GE Hitachi Nuclear Energy

Scott P. Murray
Manager, Facility Licensing

3901 Castle Hayne Road
P.O. Box 780
Wilmington, NC 28402
USA

T (910) 819-5950
scott.murray@ge.com

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February 15, 2021

U.S. Nuclear Regulatory Commission
Director, Office of Nuclear Reactor Regulation
Director, Office of Nuclear Material Safety and Safeguards
Washington, DC 20555-001

Subject: GEH Transmittal of U.S. Securities and Exchange Schedule 13D and 13G Filings

- References:**
- 1) NRC Order Approving Transfer of Licenses and Conforming Amendments Relating to the Vallecitos Boiling Water Reactor, GE Test Reactor, Nuclear Test Reactor, and ESADA Vallecitos Experimental Superheat Reactor, dated Sept. 6, 2007 (ML071450174)
 - 2) NRC Order Approving Transfer of License Nos. SNM-960 and SNM-1270 From GE to GEH, Dockets 70-754 and 70-1220, dated Sept. 26, 2007 (ML071420249)
 - 3) NRC Order Approving Transfer of License and Approving Conforming Amendment for License SNM-2500 for GE Morris Operation Independent Spent Fuel Storage Installation, Docket No. 72-1, dated Sept. 26, 2007 (ML071841159)
 - 4) NRC License DPR-1, Amendment No. 21, Docket 50-18
 - 5) NRC License TR-1, Amendment No. 17, Docket 50-70
 - 6) NRC License R-33, Amendment No. 23, Docket 50-73
 - 7) NRC License DR-10, Amendment No. 6, Docket 50-183

In Reference 1, the NRC approved the transfer of License No. DPR-1 for the Vallecitos Boiling Water Reactor, License No. TR-1 for the General Electric (GE) Test Reactor, License No. R-33 for the GE Nuclear Test Reactor, and License No. DR-10 for the ESADA Vallecitos Experimental Superheat Reactor, from GE to GE-Hitachi Nuclear Energy Americas, LLC (GEH).

In Reference 2, the NRC approved the transfer of License Nos. SNM-960 and SNM-1270 for the possession and use of Special Nuclear Material at the Vallecitos Nuclear Center from GE to GEH. In Reference 3, the NRC approved the transfer of License No. SNM-2500 for the GE Morris Operation Independent Spent Fuel Storage Installation (ISFSI) from GE to GEH.

In the orders approving the transfer of the licenses from GE to GEH (References 1-3), the NRC included the following condition:

GE-Hitachi Nuclear Energy Americas, LLC, shall cause to be transmitted to the Director, Office of Nuclear Reactor Regulation and the Director, Office of Federal and State Materials and Environmental Management Programs within 30 days of filing with the U.S. Securities Exchange Commission (SEC), any schedule 13D or 13G filed pursuant to the Securities Exchange Act of 1934 that discloses beneficial ownership of a registered class of General Electric stock.

In References 4, 5, 6, and 7, the NRC amended each Part 50 license to include, among other changes, that GEH transmit to either the Director of the Office of Federal and State Materials and Environmental Management Programs (References 4, 5, and 7) or the Director of the Office of Nuclear Reactor Regulation (Reference 6), any schedule 13D or 13G filed with the SEC that discloses beneficial ownership of a registered class of GE stock.

Recently, in the course of an internal review, GEH self-identified that such transmittals had not been made to the NRC. GEH has entered a condition report in its corrective action program (CAP). A corrective action will be implemented to ensure that Schedules 13D or 13G filed with the SEC that disclose beneficial ownership of a registered class of GE stock are transmitted to the NRC.

Enclosed are copies of the Schedules 13D and 13G filed with the SEC from September 6, 2007 through February 15, 2021 disclosing beneficial ownership of GE stock (Enclosure 1).

Prior Schedule 13D and 13G filings made with the SEC are available at www.sec.gov/edgar.

If you have any questions regarding this matter, please contact me at 910-819-5950.

Sincerely,


Scott P. Murray, Manager
Facility Licensing

Enclosure: 1) U.S. Securities and Exchange Commission Schedules 13D and 13G filed from September 6, 2007 through February 15, 2021

cc: D. Hardesty, NRR/DANU/UNPL
J. Parrott, NMSS/DUWP/RDB
O. Siurano-Perez, NMSS/DFM/FFLB
K. Banovac, NMSS/DFM/STLB
M. Catts, GEH Sr. VP Nuclear Programs
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