

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

MONIZ, ERNEST J

Secretary, Department of Energy

Date of Termination: 01/20/2017

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/ Moniz, Ernest J [electronically signed on 04/07/2017 by Moniz, Ernest J 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/ Beard, Susan F, Certifying Official [electronically signed on 04/19/2017 by Beard, Susan F in Integrity.gov]

Other review conducted by

/s/ Hymer, Christina J, Ethics Official [electronically signed on 04/17/2017 by Hymer, Christina J in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 04/20/2017 by Skalla, Daniel L in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	MIT Defined Benefit Pension Plan (value not ascertainable)	No		Receive \$5,606/month	
2	Massachusetts Institute of Technology 401(k); Fidelity Bond Oriented Balance Fund	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
3	Massachusetts Institute of Technology 401(k); Fidelity Diversified Stock Investments Fund	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Massachusetts Institute of Technology	Cambridge, Massachusetts	I will continue to participate in the MIT 401(k) defined contribution plan. MIT will not make further contributions after my retirement.	4/2001
2	Massachusetts Institute of Technology	Cambridge, Massachusetts	I will continue to participate in the MIT defined benefit pension plan.	7/1973
3	American Science & Engineering	Billerica, Massachusetts	Upon resignation from American Science & Engineering, I retained my vested stock options.	10/2002

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

(N/A) - Not required for this type of report

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TIAA Traditional	Yes	\$100,001 - \$250,000		None (or less than \$201)
2	CREF Stock	Yes	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	American Century International Bd Inv (BEGBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	American Europacific Growth F2 (AEPFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	American GR Fund of America F2 (GFFFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	American High Income Trust F2 (AHIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Artisan Midcap Value Inv (ARTQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Baron Growth Institutional (BGRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Davis New York Venture A (NYVTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8	INVESCO Prem US Gov't Money Inst (IUGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Metropolitan West Low Dur Bd I (MWLIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
10	PIMCO Emerging Mkts Bond P (PEMPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
11	Royce Total Return Inv (RYTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)	
12	Morgan Stanley Tax-Free Dailey Income Trust (money market - ITFI)	Yes	\$250,001 - \$500,000		None (or less than \$201)	
13	U.S. financial institution (cash account)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)	
14	Lynn Mass Muni Purp Loan Coupon 5.000% Mature 07/15/2020	See Endnote	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
15	Worcester Mass Genl Oblig (Bond) 4% 11-1-2017	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000	
16	Massachusetts St Spl Oblig Dedicated Tax Rev (Bond) 5.25% 1-1-2019	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000	
17	Massachusetts St Wtr Res Auth Rev Ser J (Bond) 5.5% 8-1-2020	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	
18	American Centl Intl Bond Inv (BEGBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
19	American Europacific Growth F2 (AEPFX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000	
20	American GR Fd of America F2 (GFFFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000	
21	American High Income Trust F2 (AHIFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000	
22	Artisan Midcap Value Inv (ARTQX)	Yes	\$15,001 - \$50,000		None (or less than \$201)	
23	Baron Growth Institutional (BGRIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500	
24	Davis New York Venture Y (DNVYX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000	
25	Lazard Emerging Markets Equity Instl (LZEMX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26	PIMCO Emerging Mkts Bond P (PEMPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
27	PIMCO Low Duration P (PLDPX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
28	Royce Total Return A (RYTRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
29	Invesco Prem US Gov't (IUGXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
30	Invesco Prem Us Gov't (IUGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	Royce Total Return Inv (RYTRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32	American Science & Engineering vested stock options	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
33	U.S. financial institution (cash account)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
34	Bank of America (cash account)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
35	Residential Rental Property Brookline, MA	N/A	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
36	Prudential Jennison Md Up Gr Z (PEGZX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
37	Oxford MA Genl Oblig Muni Purp Loan 10-15-2022	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
38	American Science & Engineering (ASEI) holding account - cash		\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500
39	American Century Intl Bond Inv (BEGBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
40	American Europacific Growth (AEPFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
41	American Funds Growth Fund of American (GFFFX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
42	Artisan Mid Cap Value Investor (ARTQX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
43	Davis New York Venture Y (DNVYX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
44	INVESCO Pre US Gov't Mny Inst (IUGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
45	PIMCO Emerging MKTS Bond (PEMPX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
46	Prudential Jennison Md Cp GR W (PEGZX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
47	Royce Total Return Inv (RYTRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
48	U.S. financial institution (cash account)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
49	Oxford Mass Genl Oblig Muni 10-15-2022	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
50	Massachusetts St Genl Oblig Ref Ser B (Bond) 5.25%, 8-1-2016	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
51	Waltham Mass Genl Oblig (Bond) 4%, 11-15-2018	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
52	Massachusetts St Tpk Auth Met Hwy Sys Ser C 5.5 Zero Coupon Bond 1-1-2019	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
53	Puerto Rico Comwlth Genl Oblig Pub Impt & Ref A (Bond) 5.25%, 7-1-2020	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
54	Millis Mass Muni Purp Genl Oblig (Bond) 4%, 10-1-2020	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
55	Massachusetts ST Tpk Auth Met Hwy Sys Rev Ser C OY 5.55, Zero Coupon Bond, 1-1-2021	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
56	American Funds American Gr Fd of America (GFAFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
57	Metropolitan West Low Dur Bd (MWLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
58	Baron Growth Institutional (BGRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
59	Artisan Mid Cap Val Inv (AYTQX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
60	Davis New York Venture Y (DNVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
61	Prudential Jennison Md Cp Gw Z (PEGZY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
62	Massachusetts Dev Fin Agy Rev-C	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
63	Wells Fargo Emerging Mrk EQ (EQIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
64	Wells Fargo Emerging Mkt EQ (EQIIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Wells Fargo Emerging Mrk EQ Inc - EQIIX	Purchase	4/4/16	\$1,001 - \$15,000
2	Virtus Insight Emerg Mkts I - HIEMX	Sale	4/4/16	\$1,001 - \$15,000
3	Millis Mass Muni Purp Genl Oblig bond 10-1-20 (Called)	Sale	10/3/16	\$15,001 - \$50,000
4	Massachusetts St Genl Oblig Ref Ser B Bond, 8-1-16 (Matured)	Sale	8/1/16	\$1,001 - \$15,000
5	Wells Fargo Emerging Mkt EQ Inc - EQIIX	Purchase	4/4/16	\$15,001 - \$50,000
6	Virtus Insight Emerg Mkts I - HIEMX	Sale	4/4/16	\$15,001 - \$50,000
7	Prudential Jennison MD CP GW Z - PEGZX	Sale	12/27/16	\$15,001 - \$50,000
8	Davis New York Venture Y - DNVYX	Sale	12/27/16	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
9	Wells Fargo Emerging Mkt EQ Inc - EQIIX	Purchase	4/4/16	\$15,001 - \$50,000
10	Virtus Insight Emerg Mkts I - HIEMX	Sale	4/4/16	\$15,001 - \$50,000
11	Prudential Jennison MD CP GW Z - PEGZX	Sale	12/27/16	\$15,001 - \$50,000
12	Davis New York Venture Y - DNVYX	Sale	12/27/16	\$50,001 - \$100,000
13	Davis New York Venture Y - DNVYX	Sale	11/28/16	\$1,001 - \$15,000
14	American GW FD of America - GFFX	Sale	11/28/16	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION	VALUE
1	Louise Blouin Foundation	New York, New York	On September 19, 2016, received award statue and attended awards dinner as the recipient of the 2016 Louise Blouin Foundation Creative Leadership Award.	\$1500
2	Boston University	Boston, Massachusetts	On May 15, 2016, received honorary degree and attended a lunch and dinner incident to the honorary degree.	\$500
3	Alliance to Save Energy	Washington, District of Columbia	On September 22, 2016, received award and attended dinner as recipient of the Charles H. Percy Award for Public Service.	\$1165

Endnotes

PART	#	ENDNOTE
6.	14	Mistakenly identified on previous on previous report as Lynn Mass Muni Purp Loan 8-1-2022

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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. 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 three 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, NW., 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).
