OGE Form 278 (Rev. 12/2011)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination *(Month, Day, Year)*: 05/21/2013	Reporting Status (Check Appropriate Boxes)	Incumbent ☒	Calendar Year Covered by Report: 2013	New Entrant, Nominee, or Candidate ☐ / Termination Filer ☐ / Termination Date *(If Applicable) (Month, Day, Year)*:
Reporting Individual's Name	Last Name: Moniz		First Name and Middle Initial: Ernest J	
Position for Which Filing	Title of Position: Secretary		Department or Agency *(If Applicable)*: Department of Energy	
Location of Present Office (or forwarding address)	Address *(Number, Street, City, State, and ZIP Code)*: 1000 Independence Avenue, SW, Washington, DC 20585		Telephone No. *(Include Area Code)*: 202-586-5000	
Position(s) Held with the Federal Government During the Preceding 12 Months *(If Not Same as Above)*	Title of Position(s) and Date(s) Held: President's Council of Advisors on Science and Technology, 5/09 - 5/13; Threat Reduction Advisory Committee 10/10 - 5/13			
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination: Not Applicable		Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☒ No	
Certification: I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	Signature of Reporting Individual: [signature]		Date *(Month, Day, Year)*: 5/28/2014	
Other Review (If desired by agency)	Signature of Other Reviewer: Christina [signature]		Date *(Month, Day, Year)*: 5/28/14	
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 in the box below).	Signature of Designated Agency Ethics Official/Reviewing Official: Susan Beard		Date *(Month, Day, Year)*: 5/28/14	
Office of Government Ethics Use Only	Signature: [signature]		Date *(Month, Day, Year)*: 6/16/14	

Comments of Reviewing Officials *(If additional space is required, use the reverse side of this sheet)*

(Check box if filing extension granted & indicate number of days 45 *)* ☒

Replaced pages 10 + 12 with amended pages per C.H. [initials] 6/16/14

(Check box if comments are continued on the reverse side) ☐

Fee for Late Filing

Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 fee.

Reporting Periods

Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

Nominees, New Entrants and Candidates for President and Vice President:

Schedule A—The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

Schedule B—Not applicable.

Schedule C, Part I (Liabilities)—The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

Schedule C, Part II (Agreements or Arrangements)—Show any agreements or arrangements as of the date of filing.

Schedule D—The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.

Agency Use Only

MAY 28 2014

OGE Use Only

Supersedes Prior Editions.

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Reporting Individual's Name
Moniz, Ernest J

SCHEDULE A

Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

Assets and Income (Block A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
Examples: Central Airlines Common				x												x						x										
Examples: Doe Jones & Smith, Hometown, State			x																												Law Partnership Income $130,000	
Examples: Kempstone Equity Fund					x								x										x									
Examples: IRA: Heartland 500 Index Fund							x						x											x								
1 Massachusetts Institute of Technology Cambridge, MA																															Salary $101,446	
2 American Century International Bd Inv (BEGBX)		X											X							X												
3 American Europacific Growth FI (AEGFX)				X									X								X											
4 American GR Fund of America F1 (GFAFX)				X									X										X									
5 American High income Trust F1 (AHTFX)		X											X								X											
6 Artisan Midcap Value Inv (ARTQX)		X											X								X											

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Reporting Individual's Name
Moniz, Ernest J

SCHEDULE A continued
(Use only if needed)

#	Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Income (BLOCK C) Type: Dividends	Rent and Royalties	Interest	Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Baron Asset Retail (BARAX)		X											X									X										
2	Baron Growth Retail (BGRFX)		X											X								X											
3	Davis New York Venture A (NYVTX)				X									X										X									
4	INVESCO Prem US Gov't Money Inst (IUGXX)			X										X							X												
5	Metropolitan West Low Dur Bd M (MWLDX)				X									X								X											
6	PIMCO Emerging Mkts Bond A (PAEMX)		X											X								X											
7	PIMCO Real Return A (PRTNX)	X												X							X												
8	Royce Total Return Serv (RYTFX)		X											X								X											
9	VIRTUS Emerging Mkts Opport A (HEMZX)			X										X							X												

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.

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Reporting Individual's Name: Moniz, Ernest

SCHEDULE A continued
(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income (Block A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S	American Century Intl Bond Inv (BEGBX)		X											X							X												
2 S	American Europacific Growth F1 (AEGFX)				X									X									X										
3 S	American GR Fund of American F1 (GFAFX)				X									X							X												
4 S	American High Income Trust F1 (AHTFX)		X											X								X											
5 S	Artisan Midcap Value Inv (ARTQX)		X											X								X											
6 S	Baron Asset Retail (BARAX)		X											X									X										
7 S	Davis New York Venture A (NYVTX)			X										X								X											
8 S	INVESCO Prem US Gov't Mny Inst (IUGXX)			X										X							X												
9 S	PIMCO Emerging MKTS Bond A (PAEMX)		X											X							X												

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Reporting Individual's Name: Moniz, Ernest

SCHEDULE A continued
(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S	PIMCO Real Return A (PRTNX)	X												X							X												
2 S	Royce Total Return Serv (RYTFX)		X											X								X											
3 S	VIRTUS Merging Mkts Opport A (HEMZX)		X											X							X												
4 j	Morgan Stanley Tax-Free Dailey Income Trust (money market account - ITFI))							X						X										X									
5	Citibank, NA (cash account)		X																X		X												
6	Massachusetts St. Consolidated Loan SER C, (Bond) 5%, 5-1-2014				X														X				X										
7	Massachusetts St Health & Edl FACS (Bond) 5.25%, 6-1-2017	X																	X				X										
8	Worcester Mass Genl Oblig (Bond) 4%, 11-1-2017				X														X				X										
9	Massachusetts St Spl Oblig Dedicated Tax Rev (Bond) 5.25%, 1-1-2019				X														X					X									

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Reporting Individual's Name

Moniz, Ernest

SCHEDULE A continued

(Use only if needed)

#	Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C) Type: Dividends	Rent and Royalties	Interest	Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Massachusetts St Wtr Res Auth Rev Ser J (Bond) 5.5%, 8-1-2020			X															X				X										
2	Massachusetts Hsg Fin Agy Single Fam Hsg Rev Ser 139 (Bond) 4.9%, 12-1-2023			X															X				X										
3	Massachusetts Hsg Fin Agy Single Fam Hsg Rev Ser 139 (Bond) 5.125%, 12-1-2028	X																	X					X									
4 S	Citibank, N.A. (cash account)			X															X		X												
5 S	Massachusetts Bay Transn Auth Mass Rev Assessment (Bond) 4%, 7-1-2013	X																	X				X										
6 S	Massachusetts St Genl Oblig Ref Ser B (Bond) 5.25%, 8-1-2016			X															X			X											
7 S	Massachusetts Hsg Fin Agy Single Fam Hsg Rev Ser 139 (Bond) 4.3%, 6-1-2018				X														X				X										
8 S	Waltham Mass Genl Oblig (Bond) 4%, 11-15-2018		X																X			X											
9 S	Massachusetts St Tpk Auth Met Hwy Sys Ser C 5.5 Zero Coupon Bond 1-1-2019		X																X		X												

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Reporting Individual's Name		Page Number
Moniz, Ernest	**SCHEDULE A continued** (Use only if needed)	

Assets and Income (BLOCK A) — **Valuation of Assets** at close of reporting period (BLOCK B) — **Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)

#	BLOCK A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S	Puerto Rico Comwlth Genl Oblig Pub Impt & Ref A (Bond) 5.25%, 7-1-2020			X															X				X										
2 S	Millis Mass Muni Purp Genl Oblig (bond) 4%, 10-1-2020			X															X			X											
3 S	Massachusetts ST Tpk Auth Met Hwy Sys Rev Ser c OY 5.55, Zero Coupon Bond, 1-1-2021			X															X				X										
4	American Cent Intl Bond Inv (BEGBX)			X										X							X												
5	American Europacific Growth F1 (AEGFX)					X								X									X										
6	American GR Fd of American F1 (GFAFX)					X								X											X								
7	American High Income Trust F1 (AHTFX)			X										X								X											
8	Artisan Midcap Value Inv (ARTQX)			X										X								X											
9	Baron Asset Retail (BARAX)			X										X								X											

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Moniz, Ernest		8 of 19

#	**Assets and Income** BLOCK A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
		Valuation of Assets at close of reporting period BLOCK B															**Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.** BLOCK C — Type				Amount												
1	Davis New York Venture Y(DNVYX)					X								X											X								
2	Lazard Emerging Markets Equity Instl (LZEMX)				X									X									X										
3	PIMCO Emerging Mkts Bond A (PAEMX)			X										X									X										
4	PIMCO Low Duration D (PLDDX)					X								X										X									
5	PIMCO Real Return A (PRTNX)		X											X								X											
6	Royce Total Return A (RYTRX)			X										X									X										
7	Western Asset Govt Reserves A (SMGXX)			X										X							X												
8 S	Amer Cent Intl Bond Inv (BEGBX)		X											X							X												
9 S	American Europacific GRW F1 (AEGFX)		X											X							X												

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Reporting Individual's Name: Moniz, Ernest

SCHEDULE A continued
(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 S	American Gr Fd of America F1 (GFAFX)		X											X										X									
2 S	American High Income Trust F1 (AHTFX)	X												X							X												
3 S	Metropolitan West Low Dur Bd MMWLDX)			X										X							X												
4 S	Baron Asset Retail (BARAX)		X											X								X											
5 S	Baron Growth Retail (BGRFX)		X											X								X											
6 S	Davis New York Venture A (NYVTX)		X											X										X									
7	Baron Growth Retail (BGRFX)			X										X							X												
8 S	Metropolitan West Low Dur Bd M (MWLDX)		X											X								X											
9 S	PIMCO Emerging Mkts Bond A (PAEMX)	X												X								X											

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Reporting Individual's Name: Moniz, Ernest

SCHEDULE A continued
(Use only if needed)

Assets and Income (BLOCK A) | **Valuation of Assets** at close of reporting period (BLOCK B) | **Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C)

Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Baron Growth Retail (BGRFX)			X										X								X											
2 MIT Defined Benefit Pension Plan, Cambridge, MA (no ascertainable value)																															Monthly Benefit $4985	
3 S VIRTUS Emrg Mkts A (HEMZX)		X											X							X												
4 American Science & Engineering Common Stock	X															X			X	per filer gfk 6/13/14					X							
5 ICF International Common Stock	X																		X						X							
6																																
7 American Science & Engineering vested stock options					X															X												
8																																
9 Citibank, NA (cash account)				X														X		X												

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Reporting Individual's Name: Moniz, Ernest

SCHEDULE A continued
(Use only if needed)

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Massachusetts Institute of Technology 40l(k) Underlying Assets (Fidelity Investments)--																																
2	--Bond Oriented Balance Fund									X				X							X												
3	-Diversified Stock Investments Fund									X				X							X												
4 S	TIAA/CREF --underlying investments options																																
5 S	--TIAA Traditional					X								X							X												
6 S	--Cref Stock						X							X							X												
7	American Science & Engineering Billerica, MA																															Board Fees $56,503	
8	ICF International Fairfax, VA																															Board Fees $36,000	
9 j	Bank of America (cash accounts)						X												X			X											

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Reporting Individual's Name
Moniz, Ernest

SCHEDULE A continued
(Use only if needed)

#	Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B)															Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C) Type				Amount												
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Riverstone Equity Partners, LP New York, NY																	gr 6/10/14														Consulting Fee $29,050	
2	Residential Rental Property Brookline, MA						X											X							X								
3	University of Texas Austin, TX																															Honorarium $1000	12/17/2012
4																																	
5																																	
6	Fondazione Eni Enrico Mattei Milan and Venice, Italy																															Consulting $9,593	
7																																	
8																																	
9																																	

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name: Moniz, Ernest J

SCHEDULE B

Part I: Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss.

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

None ☐

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
Example	Central Airlines Common	x			2/1/99			x									
1	American Science & Engineering		X		10/14/13					X							
2	American Science & Engineering		X		10/15/13			X									
3	American High Income Trust F1		X		11/1/13	X											
4	PIMCO Real Return A		X		11/1/13	X											
5	American Europacific Growth F1	X			11/1/13		X										

*This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $350 and (2) travel-related cash reimbursements received from one source totaling more than $350. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. **Exclude** anything given to you by the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth $140 or less. See instructions for other exclusions.

None ☒

	Source (*Name and Address*)	Brief Description	Value
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	$385
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Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name	SCHEDULE B continued (Use only if needed)	Page Number
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Part I: Transactions

#	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	American Century International Bd Inv	X			11/1/13	X											
2	American GR Fund of America F1	X			11/1/13		X										
3	Artisan Midcap Value Inv	X			11/1/13	X											
4	Barron Asset Retail	X			11/1/13	X											
5	Barron Growth Retail	X			11/1/13	X											
6	Davis New York Venture A	X			11/1/13		X										
7	Metropolitan West Low Dur Bd M	X			11/1/13			X									
8	PIMCO Emerging Markets Bond A	X			11/1/13	X											
9	Royce Total Return Serv	X			11/1/13	X											
10	VIRTUS Insight Emerging Markets A	X			11/1/13	X											
11	American GR Fund of America F1	X			12/18/13	X											
12	Davis New York Venture A	X			12/19/13	X											
13	Davis New York Venture A	X			7/1/13	X											
14	Barron Asset Retail	X			11/26/13	X											
15	(s) PIMCO Real Return A		X		11/1/13	X											
16	American Century International Bd Inv	X			11/1/13	X											

*This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name: Moniz, Ernest J

SCHEDULE B continued
(Use only if needed)

Part I: Transactions

#	Identification of Assets	Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	(s) American Europacific Growth F1	X			11/1/13		X										
2	(s) American Growth Fund of American F1	X			11/1/13		X										
3	(s) Artisan Midcap Value Inv	X			11/1/13	X											
4	(s) Barron Asset Retail	X			11/1/13	X											
5	(s) Barron Growth Retail	X			11/1/13	X											
6	(s) David New York Venture A	X			11/1/13		X										
7	(s) Metropolitan West Low Dur Bd M	X			11/1/13			X									
8	(s) PIMCO Emerging Markets Bond A	X			11/1/13	X											
9	(s) Royce Total Return Serv	X			11/1/13	X											
10	(s) VIRTUS Insight Emerging Markets A	X			11/1/13	X											
11	(s) American Growth Fund of American F1	X			12/18/13	X											
12	(s) David New York Venture A	X			12/19/13	X											
13	(s) David New York Venture A	X			7/1/13	X											
14	(s) Barron Asset Retail	X			11/26/13	X											
15	Massachusetts St Health & Edl FACS (Bond) 5.250% 11-1-17		X		9/20/13		X										
16	Massachusetts Hsg Fin Agy Single Family Hsg Rev Ser 139 (Bond) 5.125% 12-1-2028		X		9/3/13			X									

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Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name: Moniz, Ernest J

SCHEDULE B continued
(Use only if needed)

Part I: Transactions

#	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	(s) Massachusetts Bay Transn Auth Mass Rev Assessment (Bond) 4% 7-1-2013		X		7/1/13		X										
2	American Europacific Growth F1	X			10/16/13			X									
3	Artisan Midcap Value Inv	X			10/16/13	X											
4	Baron Growth Retail	X			10/16/13	X											
5	PIMCO Low Duration D	X			10/16/13			X									
6	Royce Total Return Inv	X			12/5/13	X											
7	American Growth Fund of America F1	X			12/18/13	X											
8	Davis New York Venture	X			12/19/13	X											
9	Lazard Emerging Markets	X			12/23/13	X											
10	American Europacific Growth F1	X			12/26/13	X											
11	(s) American Europacific Growth F1	X			10/16/13	X											
12	(s) Metropolitan West Low Dur Bd M	X			10/16/13	X											
13																	
14																	
15																	
16																	

*This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Prior Editions Cannot Be Used.

Reporting Individual's Name: Moniz, Ernest J

SCHEDULE C

Part I: Liabilities

Report liabilities over $10,000 owed to any one creditor at **any time** during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. **Exclude** a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☒

	Creditors *(Name and Address)*	Type of Liability	Date Incurred	Interest Rate	Term if applicable	$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001- $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001- $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Examples	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x								
	John Jones, Washington, DC	Promissory note	1999	10%	on demand					x						
1																
2																
3																
4																
5																

*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the filer with the spouse or dependent children, mark the other higher categories, as appropriate.

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	I will continue to participate in the MIT 401(k) defined contribution plan. MIT will not make further contributions after my retirement.	Massachusetts Institute of Technology, Cambridge, MA	04/01
2	I will continue to participate in the MIT defined benefit plan.	Massachusetts Institute of Technology, Cambridge, MA	7/73
3	Upon resignation from American Science and Engineering, I retained my vested stock options.	American Science & Engineering, Billerica, MA	10/02
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Reporting Individual's Name		Page Number
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	King Abdullah Petroleum Studies and Research Center, Riyadh, Saudia Arabia	Non-profit research organization	Advisory Council & Board of Trustees	09/2009	05/2013
2	Angeleno Group, Los Angeles, CA	Venture capital organization	Member, Board of Advisors	06/2004	05/2013
3	General Electric, Ecomagination, Fairfield, CT	Corporation	Member, GE Ecomagination Advisory Board	12/2008	05/2013
4	Fondazione Eni Enrico Mattei (FEEM), Milan and Venice, Italy	Non-profit research organization	Advisory Council Member	06/2009	02/2013
5					
6	Lines 1, 2, 3, & 4, date of commencement is approximate				

Part II: Compensation in Excess of $5,000 Paid by One Source

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

None ☐

	Source (Name and Address)	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
5		
6		

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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization *(Name and Address)*	Type of Organization	Position Held	From *(Mo., Yr.)*	To *(Mo., Yr.)*
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	NGP Energy Technology Partners, Washingtn, DC	Venture Capital organization	Member, Strategic Advisory Board	06/2005	05/2013
2	Massachusetts Institute of Technology (MIT), Cambirdge, MA	Institution of Higher Education	Professor, Director of MIT Energy Initiative	09/1973	05/2013
3	American Science & Engineering, Billerica, MA	Corporation	Member, Board of Directors	10/2002	05/2013
4	ICF International, Fairfax, VA	Corporation	Member, Board of Directors	06/2011	05/2013
5	Riverstone Equity Holdings, LP, New York, NY	Investment Firm	Consultant	06/2006	05/2013
6	Lines 1 and 5, date of commencement of services is approximate.				

Part II: Compensation in Excess of $5,000 Paid by One Source

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

None ☐

	Source *(Name and Address)*	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
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4		
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