SF278 (Rev. 03/2000)
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*)	Reporting Status (Check appropriate boxes): ☐ Incumbent; Calendar Year Covered by Report; ☒ New Entrant, Nominee, or Candidate	☐ Termination Filer	Termination Date (*If Applicable*) (*Month, Day, Year*)
Reporting Individual's Name	Last Name: Chu	First Name and Middle Initial: Steven	
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*): One Cyclotron Road, Mail Stop: 50A-4119, Berkeley, CA 94720	Telephone No. (*Include Area Code*): 510-486-5111	
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		
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination: Energy and Natural Resources	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*): 01.06.2009	
Other Review (If desired by agency)	Signature of Other Reviewer	Date (*Month, Day, Year*)	
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: Alison F Beard	Date (*Month, Day, Year*): 1/7/09	
Office of Government Ethics Use Only	Signature: [signature]	Date (*Month, Day, Year*): 1/7/09	

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*) ☐

(*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.

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Reporting Individual's Name: Steven Chu

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 acount 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 (Type; Amount)

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 University of California Retirement Savings Plan Program Berkeley, CA:																																
2 Defined Contribution UC TIPS Fund			x										x							x												
403(b) UC TIPS Fund					x								x							x												
457(b) UC TIPS Plan					x								x							x												
3 Deferred Annuity UC TIPS		X											x							X												
4 Fludigm San Francisco, CA (Biotech)		x																		x												
5 Nvidia - stock options 225,000 shares at $6.823/share Add'l grants, see NOTE 1						x														x												
6 Moore Foundation Scientific Board																															$15,000 Board fees	

* 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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SCHEDULE A continued
(Use only if needed)

Page Number: 3

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

None ☐

#	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	MacArthur Foundation Scientiifc Board San Francisco, CA																															$5,000 Board fees	
2	Helicos, Scientific Board Cambridge, MA																															$2,000 Board fees	
3	Cornell University (Bethe lectures) Ithaca, NY																															$3,000 Lectures	4/14/08 to 4/16/08
4	Northwestern University (Heilborn lectures) Chicago, IL																															$5,000 Lectures	4/30/08 to 5/2/08
5	Yale University (Tanner Lectures) New Haven, CT																															$9,000 Lectures	10/28/08 to 10/31/08
6	Duke University Durham, NC																															$1,000 Lecture	4/18/2008
7	Chinese University Hong Kong Hong Kong																															$20,000 Lecture	12/8/08 to 12/9/08
8	Intentionally left blank																																
9	Fidelity Investments-Annuity Fidelity VIP Index 500		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.

Prior Editions Cannot be Used.

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Reporting Individual's Name: Steven Chu

SCHEDULE A continued

(Use only if needed)

Block A – Assets and Income (None ☐)

Block B – Valuation of Assets at close of reporting period

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

#	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	Vanguard California Tax Exempt Money Market Fund							X						X											X								
2	TIAA CREF:																																
	TIAA Traditional						X												X							X							
	CREF Stock						X														X												
3	Charles Schwab Schwab One:																																
	Cash Account							X											X					X									
	CISCO Systems			X																	X												
4	Charles Schwab SEP Plan - Deposit Account			X																	X												
5	Charles Schwab Contributory IRA - Total Money Market Funds [Sweep]					X								X										X									
6																																	
7																																	
8	Wells Fargo PMA Package:																																
	Prime Checking					X													X			X											
	Savings					X													X				X										
9	Wells Fargo Checking (spouse)		X																X		X												

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Steven Chu

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

None ☐

#	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	Wells Fargo Savings (spouse)			X															X		X												
2	Wells Fargo Joint Checking					X													X		X												
3	Patents - see note 2																															Royalties $3,729.62	
4	Helicos Biosciences Corporation		X																		X												
5	Stanford University Press - Spouse See note 3																	X			X												
6	University of California																															$411,552.54 (2008) $34,236.73 (2009) salary	
7	TIAA CREF Mutual Funds - Spouse																																
	Inst International Equity fund		X											X							X												
	Inst Money Market fund		X											X								X											
8	TIAA-CREF Large Cap Growth		X											X							X												
	TIAA-CREF Large Cap Value		X											X							X												
	TIAA-CREF Inflation-Linked Bond			X										X									X										
9	TIAA-CREF High Yield Fund II		X											X								X											
	TIAA-CREF Short-Term Bond Fund II			X										X								X											
	TIAA-CREF Tax-Exempt Bond Fund II		X											X								X											

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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 ☐

#	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	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	TIAA-CREF --- Spouse:																																
	TIAA Traditional							X											X							X							
	CREF Stock				X																X												
2	CREF Equity Index				X									X							X												
	CREF Global Equities				X									X							X												
	International Equity			X										X							X												
3	Large Cap Value				X									X							X												
	Mid Cap Growth		X											X							X												
	Mid Cap Value		X											X							X												
4	S&P 500 Index				X									X							X												
	Small Cap Equity		X											X							X												
	CREF Bond Market					X															X												
5	CREF Inflation Linked Bond					X													X				X										
	Wells Fargo Variable Annuity - spouse:																																
6	American Century VP Inflation Port		X											X							X												
	Fidelity VIP Mid Cap Port			X										X							X												
	FTVIPT Franklin Income Secs Fund		X											X							X												
7	Oppenheimer Global Securities		X											X							X												
	Oppenheimer Strategic Bond		X											X							X												
	Putnam VT Health Sciences Fund		X											X							X												
8	Van Kampen Lit Comstock Port		X											X							X												
	RVS Vp S&P 500 Index Fund		X											X							X												
	RVS Vp Short Duration US Govt Fund		X											X							X												
9	FTVIPT Franklin Global Real Estate		X											X							X												
	WF Advantage Vt Equity Income Fund		X											X							X												
	1 Year Guarantee Period Acct (Cash)			X																	X												

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Reporting Individual's Name: Steven Chu

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
	None ☐																																
1	Artisan Intl Fund	X												X											X								
	Oakmark Equity Income Fund (OAKBX)	X												X												X							
	Vanguard 500 Index Fd Investor Share	X												X												X							
2	Old Mutual Large Cap (OLCVX)	X												X								X											
	Vanguard Small Cap Index Fund	X												X											X								
	Vanguard Life Strategy Star Fd (VASIX)	X												X								X											
3	Additional patents - see note 4																																
4																																	
5																																	
6																																	
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 categ

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

Reporting Individual's Name		Page Number
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Part I: Transactions

None ☐

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.

	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																	
2																	
3																	
4																	
5																	

* 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 $260; and (2) travel-related cash reimbursements received from one source totaling more than $260. 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 $104 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)	$300
1			
2			
3			
4			
5			

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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 [X]

	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x): $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, 123 J St., 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: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation; (2) continuation 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	Upon my resignation from the University of California all benefits will end including the car allowance, reduced mortgage rate, and university club membership. I will repay the mortgage within 6 months of my resignation per the original agreement.	University fo California, Office of the President	8/2004
2	As an employee of the UC, I participated in the UC Retirement Savings Plan Program. I will continue to participate in this plan, however, no further contributions will be made by the employer.		
3	I currently participate in TIAA-CREF through Stanford University. If confirmed, I will continue to participate in the plan, however, no further contributions will be made by the employer.	Stanford University	1987
4			
5			
6			

Prior Editions Cannot Be Used.

Reporting Individual's Name: Steven Chu

SCHEDULE D

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	Hewlett Foundation, San Francisco, CA	non-profit, philanthropy	board member	2002	present
2	Nvidia, Menlo Park, CA	semiconductor company	board member	2004	present
3	University of Rochester, Rochester, NY	university	board member	1998	present
4	Okinawa Institute of Science and Technology, Okinawa, Japan	university	board member	2003	present
5	Moore Foundation, San Francisco, CA	non-profit, philanthropy	scientific board member	2005	present
6	MacArthur Foundation, Chicago, IL	non-profit, philanthropy	scientific board member	2007	present

Part II: Compensation In Excess Of $5,000 Paid by One Source

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.

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

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	Moore Foundation, San Francisco, CA	Science Advisory Board Member
2	Fundacion Premios Rey Jaime I, Valencia, Spain	Judge for Rey Jaime I Prize
3	Kyungwon University, Korea	Honorarium and one time consulting service
4	Duke University, Durham, NC	Honorarium
5	Yale University, New Haven, CT	Honorarium
6	Metanexus, Bryn Mawr, PA	Manuscript for Townes 90th Birthday Symposium

Reporting Individual's Name		Page Number
Steven Chu	**SCHEDULE D continued**	11

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	Helicos Biosciences Corporation, Cambridge, MA	start-up biotech company	scientific board member	2004	present
2	Richard C. Blum Center for Developing Economies, Berkeley, CA	non-profit, philanthropy	board of trustee	9/08	present
3	Copenhagen Climate Council, Copenhagen, Denmark	non-profit	councillor	4/2008	present
4	SEEO, Berkeley, CA	start-up battery company	scientific board member	5/2008	present
5	NABsys, Providence, RI	start-up biotech company	scientific board member	2003	present
6	National Academy of Sciences (NAS), America's Energy Future Committee, Washington, DC	non-profit	committee member	9/07	present

Part II: Compensation In Excess Of $5,000 Paid by One Source

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.

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

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	University of Califonia, Oakland, CA	Professor at University of California, Berkeley and Director of Lawrence Berkeley National Laboratory
2	Chinese University Hong Kong	Lecturer
3		
4		
5		
6		

Reporting Individual's Name: Steven Chu

SCHEDULE D continued

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	Copenhagen Climate Council, Copenhage, Denmark	non-profit	committee member	2007	present
2	Council of Competitiveness, Energy Security, Innovation & Sustainability Initiative Steering Committee, Washington, DC	non-profit	committee member	3/07	present
3	University of California , Berkeley, CA	non-profit educational	Laboratory Director & Professor	8/2004	present
4	Stanford University	non-profit educational	Professor - Leave of Absence	8/2004	9/2008
5					
6					

Part II: Compensation In Excess Of $5,000 Paid by One Source

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.

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

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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5		
6		

NOTE1:

Nvidia Stock Options

Award Date	Award Amount	Award Price	Vested	Unvested	Outstanding	Exercisable	Next Vest Date	Final Exercise Date
7/1/04	225,000	$6.8233	225,000		225,000	225,000		6/30/10
8/1/05	75,000	$9.02	75,000		75,000	75,000		7/31/11
8/1/06	45,000	$14.76	11,250	33,750	45,000	11,250	2/1/09	7/31/12
6/22/07	36,000	$29.08		36,000	36,000		9/22/09	6/21/13
6/20/08	30,000	$19.76		36,000	30,000		9/20/10	6/19/14

NOTE 2:

I currently receive royalty payments from two of my patents: (1) Method and Apparatus for Manipulating Atoms, Ions or Molecules and for Measuring Physical Quantities using Stimulated Raman Transitions; U.S. Patent No. 5,274,231; Filed April 14, 1992, awarded Dec. 28, 1993; holders: Steven Chu and Mark Kasevich; and (2) Method and Apparatus for Manipulating Atoms, Ions or Molecules and for Measuring Physical Quantities using Stimulated Raman Transitions; U.S. Patent No. 5,274,232; Filed April 14, 1992, awarded Dec. 28, 1993: holders: Steven Chu and Mark Kasevich. The entity paying the royalties is AOSense, Inc.; however, I actually receive from the payment from Stanford University, my employer at the time.

NOTE 3:

My spouse is the author of *Questions and Admissions: Reflection of 100,000 Admissions Decisions at Stanford.* The value of this asset is not readily ascertainable.

NOTE 4:

Below is information on other patents I hold for which I do not currently receive any royalties and for which I did not receive royalties in 2008. The value of these patents is not ascertainable.

1. Charged Particle Energy Filter; U.S. patent 4,742,224; Filed Dec. 22, 1986, Awarded May 3, 1988; holders: Steven Chu, Aly Dayem, and Eric Westerwick

2. Method for Optically Manipulating Polymer Filaments; U.S. Patent No. 5,079,169; Filed May 22, 1990, awarded Jan. 7, 1992; holders: Steven Chu and Stephen Kron

3. An Improved Frequency Standard using an Atomic Fountain of Optically Trapped Atoms; U.S. patent No. 5,338,930; Filed June 1, 1990, awarded 1994, International patent filed May 31, 1991; holders: Steven Chu, Carl Wieman, and William Swann.

4. An Atom Interferometer based on the Mechanical Effects of Light on Matter; Filed April 4, 1992; holders: Steven Chu and Mark Kasevich

5. A Method and Apparatus for Measuring Gradients of Force on Atoms, Ions and Molecules using Stimulated Raman Transitions Filed April 4, 1992; holders: Steven Chu and Mark Kasevich

6. Optical Trap System and Method; U.S. patent No. 5,512,745; Filed March 9, 1994, awarded Apr. 30, 1996; holders: Jeffery Finer, Robert Simmons, James Spudich, and Steven Chu

7. Frequency Standard using an Atomic Stream of Optically Cooled Atoms; U.S. patent No. 5,528,028; Filed Oct. 20 1994, awarded June 18, 1996; holders: Steven Chu, Carl Wieman, and William Swann

8. Cooling by Resonator-Induced Coherent Scattering of Radiation; U.S. patent No. 6.684,645; Filed April 2, 2003, Awarded Feb 3, 2004; holders: Valdan Vuletic and Steven Chu

9. System and Method for Confining an Object to a Region of Fluid Flow Having a Stagnation Point; U.S. patent No. 7,013,739; Filed May 7, 2004; holders: Charles M. Schroeder, Hazen P. Babcock, Eric S. G. Shaqfeh, and Steven Chu