

## Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election or Nomination (Month, Day, Year) <b>3/26/09 (878 3/31/09)</b>	Reporting Status (Check appropriate boxes) <input type="checkbox"/> Incumbent <input checked="" type="checkbox"/> New Entrant, Nominee, or Candidate	Calendar Year Covered by Report <b>2009</b>	Termination <input type="checkbox"/> Filer	Termination Date (If Applicable) (Month, Day, Year)	<b>Fee for Late Filing</b> 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.  <b>Reporting Periods</b> <b>Incumbents:</b> 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.  <b>Termination Filers:</b> 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.  <b>Nominees, New Entrants and Candidates for President and Vice President:</b> <b>Schedule A--</b> 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. <b>Schedule B--</b> Not applicable. <b>Schedule C, Part I (Liabilities)--</b> 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. <b>Schedule C, Part II (Agreements or Arrangements)--</b> Show any agreements or arrangements as of the date of filing. <b>Schedule D--</b> The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.
Reporting Individual's Name	Last Name <b>Koonin</b>	First Name and Middle Initial <b>Steven E.</b>			
Position for Which Filing	Title of Position <b>Under Secretary for Science</b>	Department or Agency (If Applicable) <b>Department of Energy</b>			
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code) <b>1000 Independence Avenue, SW 20585</b>	Telephone No. (Include Area Code) <b>(202) 586-5000</b>			
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 <b>NONE</b>				
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination <b>Senate Energy and Natural Resources Committee</b>	Do You Intend to Create a Qualified Diversified Trust? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>Certification</b> 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 <i>Steven E. Koonin</i>		Date (Month, Day, Year) <b>3/27/09</b>		
<b>Other Review</b> (If desired by agency)	Signature of Other Reviewer		Date (Month, Day, Year)		
<b>Agency Ethics Official's Opinion</b> 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 <i>Susan F. Beaud</i>		Date (Month, Day, Year) <b>3/30/09</b>		
<b>Office of Government Ethics Use Only</b>	Signature <i>Theresa J. Gurn</i>		Date (Month, Day, Year) <b>3/31/09</b>		
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) <input type="checkbox"/>					
(Check box if comments are continued on the reverse side) <input type="checkbox"/>					
<b>Agency Use Only</b>					
<b>OGE Use Only</b>					

\* 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.**

Reporting Individual's Name  Koonin, Steven	<b>SCHEDULE A continued</b> (Use only if needed)	Page Number  3
---	---	----------------------

Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																
BLOCK A		BLOCK B										BLOCK C																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																
None <input type="checkbox"/>		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		Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
																	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																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																											
1	AMERICAN US GOVERNMENT AMUSX			X										X																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														



(Use only if needed)

4

\* 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.**



Reporting Individual's Name  Koonin, Steven	<b>SCHEDULE A continued</b> (Use only if needed)	Page Number  5
---	---	----------------------

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

(Use only if needed)

6

None ☐

**Prior Editions Cannot be Used.**

Reporting Individual's Name  Koonin, Steven	<b>SCHEDULE A continued</b> (Use only if needed)	Page Number  7
---	---	----------------------

Assets and Income-		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																	
BLOCK A		BLOCK B										BLOCK C																	
												Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if : Honoraria							
												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	
None <input type="checkbox"/>																													
1	Toyota Motors Corp TM														X														
2	United Technologies Corp UTX														X														
3	TIAA Traditional																X												
4	CREF Stock																												
5	CREF Growth																												
6	CREF Equity Index																												
7	CREF Global Equities																												
8	CREF Bond Market																												
9	CREF Inflation Linked Bond																												



(Use only if needed)

8

\* 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 category.

**Prior Editions Cannot be Used.**

## (Use only if needed)

**Prior Editions Cannot be Used.**

Reporting Individual's Name  Koonin, Steven	<b>SCHEDULE A continued</b> (Use only if needed)	Page Number  10
---	---	-----------------------

Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																					
BLOCK A		BLOCK B										BLOCK C																					
		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		Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria			
																	Dividends	Rent and Royalties	Interest	Capital Gain	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
None <input type="checkbox"/>																																	
1	BP Qualified Defined Benefit Pension BP Non-Qualified Defined Benefit Pension Plan					X														X	X												
2	BP vested stock options, 5250 shares; \$53.66; exp. 6/7/2014																													value not readily ascertainable			
3	BP unvested shares, 1970 shares vest 12/2009				X																X												
4	BP unvested shares, 2228 shares vest 12/2010				X																X												
5	BP undistributed vested shares; 1312 to be distributed 2/25/10				X																X												
6	BP unvested shares, 5,435 shares vest 1/2012					X															X												
7	BP unvested shares, 3,000 shares vest 1/2012; 1,000 shares vest 2/2012					X															X												
8	Intentionally left blank																																
9	BP unvested shares, 3,000 shares vest 1/2013; 1,000 shares vest 2/2013 (Bonus CY 09 award)					X															X								Estimate of Future Award Annual				

\* 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 category.

Prior Editions Cannot be Used.



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

Reporting Individual's Name Koonin, Steven	<b>SCHEDULE B</b>	Page Number 11
---	-------------------	-------------------

### 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		Pur	Sale	Exch		\$1,0	\$15,	\$15,	\$50,	\$50,	\$100,	\$100,	\$250,	\$250,	\$500,	\$1,0	Over	\$1,0	\$5,0	\$5,0	\$25,	\$25,	\$50,	Over	\$50,	Cert	
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				

Prior Editions Cannot Be Used.

Reporting Individual's Name

Koonin, Steven

## SCHEDULE C

Page Number

12

### 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 ☒

Category of Amount or Value (x)

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			by automobiles, motorcycles, furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.																
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 John Jones, 123 J St., Washington, DC		Mortgage on rental property, Delaware Promissory note			1991 1999	8% 10 %	25 yrs. on demand			x		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	Pursuant to the company's qualified defined benefit plan, a cash lump sum payment will be paid in January 2010.	British Petroleum	3/04
2	Pursuant to company non-qualified defined benefit plan lump sum payment will be paid to filer 14 months from date of termination.	British Petroleum	3/04
3	Pursuant to company policy, filer will receive bonus for work performed in CY 2009, including unvested shares. Filer will forfeit unvested shares.	British Petroleum	3/04
4	Pursuant to company policy, BP will repatriate filer and family paying for travel, moving expenses, per diem, temporary housing, and automobile rental upon return.	British Petroleum	3/04
5	Upon resignation, filer will forfeit stock options that are underwater; filer will divest of all BP shares. Prior to entering government service, BP will accelerate distribution of vested shares and filer will divest. Filer will forfeit	British Petroleum	3/04
6	unvested shares.		
	Pursuant to company policy, BP will pay for third-party tax preparation for CY 2008, 2009, 2010, and 2011.	British Petroleum	3/04

Prior Editions Cannot Be Used.

Reporting Individual's Name  Koonin, Steven	<b>SCHEDULE D</b>	Page Number  13
---	-------------------	-----------------------

### 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	BP, plc, London, UK	Corporation	Chief Scientist	3/04	Present
2	MITRE Corporation, McLean, VA	Not-for-Profit Organization	Consultant	7/88	Present
3	Physics Department Visiting Committee Massachusetts Institute of Technology	University	Visiting Committee Member	1989	Present
4	Imperial College, London, UK	University	Commercialization Advisory Board Member	2005	Present
5	King Abdullah University of Science and Technology (KAUST) Jeddah, Saudi Arabia	University	Search Committee member	2007	2008
6	KAUST Global Research Partnership, Washington DC	Research Foundation	Technical Review Panel member	2007	Present
7	Royal Society of Chemistry, London, UK	Professional Society	Editorial Board member	2008	Present
8	Tri Alpha Energy Rancho Santa Margarita, CA	Corporation	Scientific Advisory Board member	2007	Present
9	Novim Group Santa Barbara, CA	Foundation	Scientific Advisory Board Study Group Leader	2008	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	BP, plc; London, UK	Chief Scientist
2	Queen's University, Belfast, Northern Ireland	Chair of Innovation (lecture, seminar)
3	King Abdullah University of Science and Technology Jeddah, Saudi Arabia	Presidential and Academic Leadership Search Committee member
4	KAUST Global Research Partnership Washington, DC	Review Committee Member
5	Massachusetts Institute of Technology Cambridge, MA	Lincoln Lab Fubini Lecturer



Reporting Individual's Name Koonin, Steven	<b>SCHEDULE D</b>	Page Number 14
---	-------------------	-------------------

### 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:	Natl Assn. of Rock Collectors, NY, NY Doe Jones & Smith, Hometown, State	Non-profit education Law firm	President Partner	6/92 7/85	Present 1/00
1	Direct Solar Energy Study Advisory Committee Massachusetts Institute of Technology, Cambridge, MA	University	Committee Member	05/08	Present
2	Fast Radioactive Ion Beam Presidential Program Adv. Committee Michigan State University, East Lansing, MI	University	Committee Member	12/08	Present
3	Clare Hall College, Cambridge, UK	University	Associate	3/06	Present
4	California Institute of Technology (Caltech), Pasadena, CA	University	Visiting Associate	7/06	Present
5	Strengthening the US Energy Innovation System Advisory Board Massachusetts Institute of Technology, Cambridge, MA	University	Committee Member	12/08	Present
6	Sponsored Research Visting Committee Massachusetts Institute of Technology, Cambridge, MA	University	Committee Member	10/05	Present
7					
8					
9					

### 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 Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services Legal services in connection with university construction
1	Stanford University Stanford, CA	Drell Lecturer
2	Yale University New Haven, CT	Zucker Lecturer
3	Tri Alpha Energy Rancho Santa Margarita, CA	
4	MITRE Corporation McLean, VA	Consultant
5	Novim Group Santa Barbara, CA	Study Group leader