

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

U.S. Office of Government Ethics

Date of Appointment, Candidacy, Election or Nomination (Month, Day, Year) <i>5/18/09 (88.5/18/09)</i>		Reporting Status (Check appropriate boxes) <input type="checkbox"/> Incumbent	Calendar Year Covered by Report	<input checked="" type="checkbox"/> New Entrant, Nominee, or Candidate	<input type="checkbox"/> Termination Filer	Termination Date (If Applicable) (Month, Day, Year)	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 Individual's Name Last Name: <i>Newell</i> First Name and Middle Initial: <i>Richard G.</i>		Title of Position <i>Administrator, Energy Information Administration</i>		Department or Agency (If Applicable) <i>Department of Energy</i>			
Position for Which Filing		Address (Number, Street, City, State, and ZIP Code) <i>Duke U., Box 90227, Durham, NC 27708</i>		Telephone No. (Include Area Code) <i>919-681-8865</i>		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.	
Location of Present Office (or forwarding address)		Title of Position(s) and Date(s) Held		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.	
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)		Name of Congressional Committee Considering Nomination <i>Committee on Energy and Natural Resources</i>		Do You Intend to Create a Qualified Diversified Trust? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Schedule B—Not applicable	
Presidential Nominees Subject to Senate Confirmation		Signature of Reporting Individual <i>Richard G. Newell</i>		Date (Month, Day, Year) <i>May 5, 2009</i>		Schedule C, Part I (If Applicable).. 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.	
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 Other Reviewer <i>Stu Edwards</i>		Date (Month, Day, Year) <i>5/18/09</i>		Schedule C, Part II (Agreements or Arrangements)– Show any agreements or arrangements as of the date of filing.	
Other Review (If desired by agency)		Signature of Designated Agency Ethics Official/Reviewing Official <i>Juan F Beaul</i>		Date (Month, Day, Year) <i>5/18/09</i>		Schedule D—The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.	
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 <i>Theresa J. Gault</i>		Date (Month, Day, Year) <i>5/20/09</i>		Agency Use Only MAY 06 2009	
Office of Government Ethics Use Only		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"/>		OGE Use Only MAY 19 2009	
				(Check box if comments are continued on the reverse side) <input type="checkbox"/>			

Reporting Individual's Name
 Richard G. Newell

SCHEDULE A

Page Number
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BLOCK A Assets and Income	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.										Date (Mo., Day, Yr.) Only if Honoraria	
	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*	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
<p>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.</p> <p>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).</p> <p>None <input type="checkbox"/></p>									Type											
Examples									Dividends											
Central Airlines Common				X					Ret and Royalties											
Doe Jones & Smith, Hometown, State									Interest											
Keystone Equity Fund									Capital Gains											
IRA: Heartland 500 Index Fund									None (or less than \$201)											
1 Symantec Common		X							\$201 - \$1,000											
2 Dean Foods Co Common		X							\$1,001 - \$2,500											
3 Deere & Co Common		X							\$2,501 - \$5,000											
4 H&Q Healthcare Investors Fund		X							\$5,001 - \$15,000											
5 Hewlett-Packard Co Common		X							\$15,001 - \$50,000											
6 Invacare Corp Common		X							\$50,001 - \$100,000											

* 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.

Reporting Individual's Name
 Richard G. Newell

SCHEDULE A continued
 (Use only if needed)

BLOCK A Assets and Income	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.										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria																
	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	Over \$25,000,000	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						
1 LSI Corp Common		X																	X																			
2 McAfee Inc Common																				X																		
3 The Mexico Fund (MXF)		X																				X																
4 Parametric Technology Corp Common		X																		X																		
5 Transocean Ltd Common		X																		X																		
6 Treehouse Foods Inc Common		X																		X																		
7 Western Digital Common		X																		X																		
8 DWS Latin America Fund			X																			X																
9 Janus Worldwide Fund		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.

Reporting Individual's Name
 Richard G. Newell

SCHEDULE A continued
 (Use only if needed)

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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.										Date (Mo., Day, Yr.) Only if Honoraria	
		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 *	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)		
												Type											
												Dividends											
												Net 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	Mutual Qualified Z (MOIFX)																						
2	Fidelity Four-in-One Index Fund																						
3	Fidelity Tax-Free Money Market Fund																						
4	Alcatel Lucent ADR Common																						
5	Asia Pacific Fund (APB)																						
6	Templeton Dragon Fund																						
7	Vanguard Health Care Fund																						
8	NYSAVES 529 College Fund Aggressive Growth Portfolio																						
9	NC 529 College Fund Aggressive Growth Fund																						

* 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.

Reporting Individual's Name
 Richard G. Newell

SCHEDULE A continued
 (Use only if needed)

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BLOCK A Assets and Income	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.											
											Type	Amount										Date (Mo., Day, Yr.) Only if Honoraria
											Dividends	None (or less than \$201)										
										Retained Earnings	\$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*	Other Income (Specify Type & Actual Amount)			
None <input type="checkbox"/>											None (or less than \$201)											
1 Duke University Durham, NC																				Salary \$246,088		
2 Resources for the Future Washington, DC																			Consulting \$118,215			
3 Brookings Institution Washington, DC																			Paper honoraria \$12,677	11/1/08		
4 Harvard University Cambridge, MA																			Paper honoraria \$3,000	2/1/09		
5 Organization for Economic Cooperation and Development Paris, France																			Paper honoraria \$4,011	4/1/09		
6 Freelance Editor (spouse)																						
7 Fidelity Municipal Money Market Fund																						
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, Vice Presidential or Presidential Candidate

Reporting Individual's Name Richard G. Newell	SCHEDULE B	Page Number 6
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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)			Date (Mo., Day, Yr.)	Amount of Transaction (x)												
		Purchase	Sale	Exchange		\$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	Example: <u>Central Airlines Common</u>	x			2/1/99			x										
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
	Example: <u>Natl Assn. of Rock Collectors, NY, NY</u> <u>Frank Jones, San Francisco, CA</u>	<u>Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)</u> <u>Leather briefcase (personal friend)</u>	<u>\$500</u> <u>\$300</u>
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Reporting Individual's Name Richard G. Newell	SCHEDULE C	Page Number 7
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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

Category of Amount or Value (x)

Creditor's (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 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
Examples: 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 university policy, I will take an unpaid leave of absence from my position as Professor at Duke University. I will continue to participate in the University's retirement plan, however no contributions will be made during my Federal service.	Duke University, Durham, NC	1/2007
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Reporting Individual's Name Richard G. Newell	SCHEDULE D	Page Number 8
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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 Doe Jones & Smith, Hometown, State	Non-profit education Law firm	President Partner	6/92 7/85	Present 1/00
1	Richard G Newell, Chapel Hill, NC	Sole proprietorship	Sole Proprietor	1/1998	Present
2	Duke University, Durham, NC	University	Professor	1/2007	Present
3	Resources for the Future, Washington, DC	Nonprofit research institution	University Fellow	1/2007	Present
4	National Bureau of Economic Research Cambridge, MA	Nonprofit research institution	Research Associate	4/2008	Present
5	Association of Environmental and Resource Economists Washington, DC	Professional association	Board Member	1/2008	Present
6	Princeton Carbon Mitigation Initiative Princeton, NJ	University	Advisory Board Member	10/2007	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 Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services Legal services in connection with university construction
1	Duke University, Durham, NC	Research and teaching
2	Resources for the Future, Washington, DC	Research
3	Brookings Institution, Washington, DC	Commissioned paper
4		
5		
6		

Reporting Individual's Name Richard G. Newell	SCHEDULE D	Page Number 9
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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:	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	Progressive Automobile X Prize Development Advisory Committee Playa Vista, CA	Non-Profit	Advisory Committee Member	1/2006	Present
2	Journal of Energy Economics St. Louis, MO	Journal Publication	Editorial Board Member	1/2006	Present
3	Journal of Environmental Economics and Management St. Louis, MO	Journal Publication	Editorial Counsel Member	1/2007	Present
4	ExxonMobil	Corporation	External Assessment Panel Member	1/2009	4/2009
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 Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services Legal services in connection with university construction
1		
2		
3		
4		
5		
6		