SF278 (Rev. 03/2000) 5 C.F.R Part 2634

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved OMB No. 3209-0001

U.S. Office of Government Ethics								
Date of Appointment, Candidacy, Election	Reporting Status		Calendar Year				Termination Date (If Appli- cable) (Month, Day, Year)	Fee for Late Filing
or Nomination (Month, Day, Year)	(Check appropriate baxes)	Incumbent	Covered by Report		New Entrant, Nominee, or Candidate	Termination Filer		Any individual who is required to file this report and does so more than
	арргорная вохех)				N Calmidate	L	1	30 days after the date the report is
	Last Name	<u> </u>		Ī	First Name and Middle	Initial		required to be filed, or, if an extension
Reporting Individual's Name	Chu				Steven			is granted, more than 30 days after the
	Title of Position			Ī	Department or Agency	(If Applicable)		shall be subject to a \$200 fee
Position for Which Filing	Secretary			1	Department of Ene	rgy		Reporting Periods
	Address (Number,	Sweet, City, State,	and ZIP Code)			Telephone No.	(Include Area Code)	Incumbents: The reporting period is
Location of Present Office (or forwarding address)	One Cyclotron	Road, Mail Stop	p: 50A-4119, Berk	eley, C/	A 94720	510-486-511	1	the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also
Position(s) Held with the Federal	Title of Position(s) and Date(s) Held				1		include the filing year up to the date
Government During the Preceding 12 Months (If Not Same as Above)								you file. Part II of Schodule D is not applicable.
								Termination Filers: The reporting
Presidential Nominees Subject to Senate Confirmation	Name of Congress	tional Committee C	onsidering Nomination	1	Do You intend to Crest			period begins at the end of the period
Service Coulin and ton	Energy and Na	atural Resources	5		Yes	Х	No	at the date of termination. Part II
Cerblacation	Signature of Repo	etina Indiadami				Dale (Month, L	STEP PAR	of Schedule D is not applicable.
I CERTIFY that the statements I have	Signature of Kepo	THINK INCLANTING				Date (Mynas, D	19. 7011)	Nominees, New Entrants and
made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	the	mella	₹			01.06.2009		Candidates for President and Vice President:
	Signature of Other	r Davienner				D (14 - 4 - 5		Schedule A—The reporting period for
1	Digital di Citte	TOTAL TELEVISION OF THE PERSON				Date (Month, D	ray, fear	income (BLOCK C) is the preceding calendar year and the current calendar
Other Review (If desired by agency)								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
Agency Ethics Official's Opinion	Signature of Desig	enated Agency Ethic	s Official/Reviewing	Official		Date (Month, D	Day, Year)	Schedule B-Not applicable.
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).	1 20	an FL	Searl			1/7/0	9	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
Office of Government Ethics	Signature	1		,		Date (Month, D	rav. Year)	within 31 days of the date of filing.
Use Only		4/1	- Cuch	-		1/7/2	29	Schedule C. Part II (Agreements of Afrangements)—Show any agreements
Comments of Reviewing Officials (If addu	nonal space is requir	ed, use the reverse	side of this sheet)					or arrangements as of the date of
			(Check l	box if filir	ng extension granted &	indicate number	of days	filing.
			, ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,	,		T towns	Schedule D—The reporting period is the preceding two calendar years and the current calendar year up to the date of filling.
								Agency Use Only
								JAN V
					(Check box if comme	mis are continued	on the reverse side)	OGE Use Only

U.S. Office of Government Ethics				
	U.S.	Office	of Government	Ethics

Reporting Individual's Name Steven Chu						· · · · · ·				3	SC	HIE)	DU	LI	č A		-										Page Num	ber 2	**************************************	
Assets and Income	The state of the s		· V		porti	ose (of erioc								me: entr					ock (that			\$20)1)" i	s check	ed, no		
For you, your spouse, and dependent children, eport 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 han from the U.S. Government). For your spouse, eport the source but not the amount of earned income of more than \$1,000 (except report the include acount of any honoraria over \$200 of your spouse).	None (priless than Staffel)	81,001-815,000	\$15,001 \$50,000	\$50,001 - \$100,000	\$100,001 \$250,000 \$250,001 \$500,000	01		\$1,000,001 - \$ 5,000,000	\$5,000,001 - \$25,000,000	\$25.000,001 \$30,000 Over \$50,000,000	Excepted Investment Fund	Sin I Doy Copy (Copy I Link)	Outlifed land		Lype Here He	Capital Gains	None (or less than \$20 b)	\$201 \$1,000	\$1,001 - \$2,500			noui	(#)	Over\$1,000,900*	\$1,000,001 - \$5,000,000	Over35,000,000	Inc (Spr Tyr Ac	ther ome ecity pe & tual ount)	Date (Mo., L Yr.) Only Honor	Day.) , if
Central Airlines Common Examples Doe Jones & Smith, Hometown, State Kempstone Equity Fund IRA: Heartland 500 Index Fund 1 University of California Retirement Savings Plan Program			•	x									Hart to be a few contracts	X					X .	State of the state	XX						Law Partnership	p Income \$130,00	0	
Berkeley, CA: Defined Contribution UC TIPS Fund 403(b) UC TIPS Fund 457(b) UC TIPS Plan			×		x						×						X X X													
3 Deferred Annuity UC TIPS		X															Х				""									
4 Fludigm San Francisco, CA (Biotech)		×															×													
5 Nvidia - stock options 225,000 shares at \$6.823/share Add'l grants, see NOTE 1					,												×													
Moore Foundation Scientific Board																												,000 d fees		

SE278 (Rev. 03/2000)

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Rep	oorting Individual's Name	H		1 "				-:		S				LE only				ıue	d							yes.			Page Number	
							,	127																						· · · · · · · · · · · · · · · · · · ·
	Assets and Income BLOCK A					at por	clos	e of peri		S.					In ot	com	e: t	ype is n	and : eede	umou d in l	int. Blo	ck C	for LOC	that K.C	item	thai	ı \$20	01)"	is checked, no	
	None	None (or less than \$1,000).	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,051 - \$270,040	\$250,001 \$500,000		Standard School (III)	\$5,000,001 - \$25,000,000	\$25,000,003 SS0,000,000	Over.\$50,000,000	The state of the s	Excepted Trust Outlifted Trust	Dividends	Rent and Royalties	De e	Capital Coins	None (or less than \$201)			000515-10055	-	000 001 = \$100,000	00#	Over \$1,000,000#	\$1,000,000 . \$5,000,000	Over.55,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	MacArthur Foundation Scientific Board San Francisco, CA		;		eninai		2.111					:a.t*					Vi. 4,87											10000	\$5,000 Board fees	half fame _upfisients.a
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
	Intentionally left blank																													
9	Fidelity Investments-Annuity Fidelity VIP Index 500		х																	×										

* 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.

U.S. Office of Government Ethics Reporting Individual's Name Steven Chu		DULE A continued se only if needed)	Page Number 4
Assets and Income	Valuation of Assets at close of reporting period	Income: type and amount. If "None (or less than \$201)" other entry is needed in Block C for that item.	is checked; no
None 1 Vanguard California Tax Exempt Money Market Fund	Suna (or text than \$1,101) \$1,001 = \$15,000 \$1,5001 = \$10,000 \$1,50,001 = \$1,00,000 \$25,000,001 = \$2,000,000 \$25,000,001 = \$25,000,000 \$25,000,001 = \$25,000,000 \$25,000,001 = \$25,000,000	Excepted Investment Fund Dividends Trust Dividends Trust Dividends Trust Theres There are the paint Knywites Theres Theres	Other Date Income Mo. Day. (Specify Yr.) Type & Actual Only if Amount) Honoraria
2 TIAA CREF: TIAA Traditional CREF Stock 3 Charles Schwab Schwab One:	X X	x x	
Cash Account CISCO Systems Charles Schwab SEP Plan - Deposit Account			
5 Charles Schwab Contributory IRA - Total Money Market Funds [Sweep]			
7			
Wells Fargo PMA Package: Prime Checking Savings Wells Fargo Checking (spouse)	x	X X X X	
* This category applies only if the asset/income is mark the other higher categories of value, as appro		dren. If the asset/income is either that of the filer or jointly held by the filer w	vith the spouse or dependent child

U.S. Office of Government Ethics Reporting Individual's Name Page Number SCHEDULE A continued 5 Steven Chu (Use only if needed) Income: type and amount. If "None (or less than \$201)" is checked, no. Valuation of Assets Assets and Income at close of other entry is needed in Block C for that item. reporting period BLOCK C BLOCK A BLOCK B Amount Type Date Other Excepted Investment Find Excepted Trust None (or less than \$1,001) (Mo., Day, \$1 000,001 = \$5,000,000 \$5,000,001 = \$25,000,000 Income 625,000 (00) Over \$50,000,000 Yr.) (Specify \$250,001 - \$500,000 \$500,001 - \$1,000,000 Type & \$100,001 - \$250,000 Rent and Rayalties \$50,001 - \$100,000 \$50,001 - \$100,000 Actual Only if None (or less than Over \$1,000,000* Over \$1,000.000 Qualified Lenst Amount) Honoraria \$5,001-\$15,000 Capital Coins \$201 - \$1,000 Dividends None 1 Wells Fargo Savings (spouse) X 2 Wells Fargo Joint Checking 3 Patents - see note 2 Royalties \$3,729.62 4 Helicos Biosciences Corporation х 5 Stanford University Press - Spouse Х See note 3 \$411,552.54 (2008) 6 University of California \$34,236.73 (2009) salary 7 TIAA CREF Mutual Funds - Spouse Inst International Equity fund х Х Inst Money Market fund х 8 TIAA-CREF Large Cap Growth X Х TIAA-CREF Large Cap Value х х TIAA-CREF Inflation-Linked Bond 9 TIAA-CREF High Yield Fund II Χ × TIAA-CREF Short-Term Bond Fund II TIAA-CREF Tax-Exempt Bond Fund II 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 Steven Chu		DULE A continued 6 Use only if needed)	Po-20-10-10-10-10-10
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	Nonetor Less than \$1,001) \$1,001 - \$15,000 \$15,001 - \$100,000 \$50,001 - \$100,000 \$100,001 - \$100,000 \$250,001 - \$50,000 \$500,001 - \$50,000 \$500,001 - \$50,000 \$500,001 - \$50,000,000 \$1,000,001 - \$25,000,000 \$55,000,001 - \$25,000,000 \$55,000,001 - \$25,000,000 \$55,000,001 - \$25,000,000	Income (Mac) (Specify Type &	Date (c., Dav. Yr.) Only if onoraria
1 TIAA-CREF Spouse: TIAA Traditional CREF Stock 2 CREF Equity Index CREF Global Equities International Equity 3 Large Cap Value Mid Cap Growth Mid Cap Value	X X X X X X X X X X X X X X X X X X X	X X X X X X X X X X X X X X X X X X X	An 150 5 2
4 S&P 500 Index Small Cap Equity CREF Bond Market 5 CREF Inflation Linked Bond Wells Fargo Variable Annuity - spouse: 6 American Century VP Inflation Port Fidelity VIP Mid Cap Port FTVIPT Franklin Income Secs Fund 7 Oppenheimer Global Securities Oppenheimer Strategic Bond Putnam VT Health Sciences Fund	X X X X X X X X X X X X X X X X X X X		
Van Kampen Lit Comstock Port RVS Vp S&P 500 Index Fund RVS Vp Short Duration US Govt Fund FTVIPT Franklin Global Real Estate WF Advantage Vt Equity Income Fund 1 Year Guarantee Period Acct (Cash)	is solely that of the filer's spouse or dependent child	dren. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent	ent childr

U.S. Office of Government Ethics Reporting Individual's Name SCHEDULE A continued 7 Steven Chu (Use only if needed) Income: type and amount, If "None (or less than \$201)" is checked, no Assets and Income Valuation of Assets at close of other entry is needed in Block C for that item. reporting period BLOCK A BLOCK B BLOCK C Amount Type Date Other Excepted Investment Fund (Mo., Day. Income \$1,000,003 - \$ 5,000,000 (Specify Yr.) \$500,001 - \$1,000,000 Type & \$5,000,001 - \$25,000 \$100,001 - \$250,000 Rentand Roxation \$1,000,001 - \$5,000 Only if \$50,001 - \$100,000 Over \$1,000.000 * Actual \$50,001 - \$100,000 Over \$1,000,000 Honoraria Onulified Trust Over \$5,000,000 Amount) \$5,001 - \$15,000 Capital Cains 1 Artisan Intl Fund Oakmark Equity Income Fund (OAKBX) Vanguard 500 Index Fd Investor Share 2 Old Mutual Large Cap (OLCVX) X X Vanguard Small Cap Index Fund Vanguard Life Strategy Star Fd (VASIX) 3 Additional patents - see note 4 4 5 6 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,

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Reporting Individual's Name Steven Chu			SCHEDULE		, , , ! ;			N.				Page Nur	mber 8	
Part I: Transaction	ns							None					-	
Report any purchase, sale, or ex or dependent children during th		report a transaction involvin	g property used solely as your saction solely between you.		nsacti ype (x					Amou	nt of Tra	nsaction (x)	
property, stocks, bonds, commo securities when the amount of t \$1,000: include transactions tha	odity futures, and other the transaction exceeded at resulted in a loss. Do not		nild. Check the "Certificate of sales made pursuant to a	Purchase	Sale		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 -	St 000,000*	\$5,000,000 \$5,000,001 - \$25,000,000 \$25,000,001 -	Ower \$50,000,000 Certificate of
Example: Central Airlines Co				x		Pingla PC	2/1/99	g eraa.	TX.	· dish	56 to 5		46000	34:5E
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by the filer or jointly held by t	he filer with the spouse or depe	ndent children, use the other	endent children. If the underlyin nigher categories of value, as app	-		her he	eld		has the same do					
For you, your spouse and de tion, and the value of: (1) gi food, or entertainment) rece (2) travel-related cash reimb than \$260. For conflicts and as personal friend, agency a	nbursements, and Tenendent children, report the lifts (such as tangible items, trived from one source totaling oursements received from one allysis, it is helpful to indicate approval under 5 U.S.C. § 41 ated gifts and reimbursement enses provided. Exclude any	source, a brief descrip- ansportation, lodging, more than \$260; and source totaling more a basis for receipt, such		receive indep the de	ved for the second constant of the second con	rom r int of s resi	elatives; r their relat dence. Al 1 one sour	eceive ionshi so, for	d by your p to you; o purposes	spouse of or provide of aggreg	depened as position	dent chil rsonal h ifts to de	icial travel: d totally ospitality at termine the a instructions None	
	ame and Address)	A Armerican Company				criptio		e de la compans						Value
Examples: Nat'l Assn. of Roc		Airline ticket, hotel room & me	als incident to national conference 6/1	5/99 (pe	rsona	lactivi	ty unrelated	to duty)		adalisa Brainsa				\$500 \$300

	Source (Name and Address)	
1	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)
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend) \$300
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SF 278 (Rev. 03/2000)

5 C.F.R Part 2634

U.S.	Office	of Government	Ethics

Reporting Individual's Name					"								Page N	umber	_	
Steven Chu		SC	HEDUL	EC								:			9	
							•								,	
Part I: Liabilities Report liabilities over \$10,000 owed to an	ore creditor at	personal residence unless it is rented out; loan	e coured		No	ne x					:		- :			
any time during the reporting period by y	F	by automobiles, household furniture or applia			140	WC X	1			Catego	ory of Z	Amount	or Val	ue (x)		···-
or dependent children. Check the highest	amount owed	liabilities owed to certain relatives listed in in	structions.	Date of the	Total	T	T					, ,		1-0	- 8	5 8 3
during the reporting period. Exclude a m	ongage on your	See instructions for revolving charge accounts	i. :	Date Incurred	Interest Rate	Term if	2 8	5 8	000	8 8	8 8	9,00	80	00,00	\$5,000,001 \$25,000,00	000
Creditors (Name and	Address	Type of Liability	Taringal Control Stage (1987)			cable	\$10,001	\$15,0	\$50,0	\$100,001	\$250,001	\$1,000,000	Over \$1,000,00	\$5,000,000	\$5,00	\$25,000, \$50,000, Over
First District Bank, Washington,	DOTAL	Mortgage on rental property, Delaware		1991	8%	25 yrs.			x	74.		rani				
John Jones, 123 J St., Washingto	on, DC	Promissory note	British I was	1999	10 %	on demand	i katala	9EC-1123	3-1-1	10.00	×	/orusing	425,50	(940)(75)	\$43E5E	120 p. 3 15 01
2								and life of					1		1	
3				 	-		+		-		 			\Box		
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5																
* This category applies only if the liabili	ity is solely that of the	filer's spouse or dependent children. If the liab	ility is that of	the filer o	rajoint]	iability of t	he filer		1		<u>. </u>					
with the spouse or dependent children,	mark the other higher of	categories, as appropriate.								******						
Part II: Agreements or A	crrangements				Sideli Sideli											
Report your agreements or arrangeme	ents for: continuing p	participation in an				4) future e							ling th	је герс	orting	5
employee benefit plan (e.g. 401k, def payment by a former employer (inclu	terred compensation; ding severance paym	(2) continuation lents): (3) leaves		or negot	iations ic	or any of th	iese ar	rangei	nents	or be	nenns					
							٠.		,.,. <u>":</u>			1	Vone		: :	
1		Agreement or Arrangement							Tarre 14	Partie						Date
Example: Pursuant to partnership agreer calculated on service perform	nent, will receive lump su ed through 1/00	m payment of capital account & parmership share			E.,	Do	e Jones	& Smit	h, Hor	netown,	, State	-				7/85
		all benefits will end including the car allo					niversi	y fo C	alifor	nia, O	ffice	of the	Presid	dent		8/2004
and university club membersh	icinated in the LIC Re	mortgage within 6 months of my resign etirement Savings Plan Program. I will con	ation per th	e origina	li agreer	nent.										-
however, no further contribution	ons will be made by	the employer.			no plan,											
		University. If confirmed, I will continue to	participate in	the plan,		St	anford	Unive	ersity							1987
however, no further contributions	will be made by the	employer.														
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Reporting Individual's Name Steven Chu	SCHEDULE D	The many services and the services are services are services and the services are services ar	Page Number	0
			The state of the s	, vone
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, partn non-profit organization or educational ins social, fraternal, or political entities and t	stitution. Exclude positions with religious	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 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 So 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 Source (Name and Address) Examples: Doe Jones & Smith, Hometown, State Metro University (client of Doe Jones & Smith); Moneytown, State	corporation, firm, partnership, or other bu organization when you directly provided of more than \$5,000. You need not report the legal services Legal services Legal services in connection with university	the services generating a fee or payment t the U.S. Government as a source. Brief Description of Duties		Incumbent, Filer, or ntial al Candidate
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			
Yale University, New Haven, CT	Honorarium			
6 Metanexus, Bryn Mawr, PA	Manuscript for Townes 90th Birthday	Symposium		

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Reporting Individual's Name	In the many section and the first property of the	. The search of the contract of the search o	Aleitar of the	Page Number	
Steven Chu	\$	SCHEDULE D continued		1	1
Part I: Positions Held Ou Report any positions held during the compensated or not. Positions inclu- director, trustee, general partner, pro	applicable reporting period, whether le but are not limited to those of an officer.	consultant of any corporation, firm, partner non-profit organization or educational inst social, fraternal, or political entities and the	itution. Exclude positions with religious	y S. None	. []
Ore	anization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo. Yr.
Examples: Nat'l Assn. of Rock Collector	rs, NY, NY	Non-profit education Law firm	President Partner	6/92 7/85	Present 1/00
1 Helicos Biosciences Corpora	tion, Cambridge, MA	start-up biotech company	scientific board member	2004	present
2 Richard C. Blum Center for D	eveloping 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	200	start-up biotech company	scientific board member	2003	present
6 National Academy of Science Committee, Washington, DC	es (NAS), America's Energy Future	non-profit	committee member	9/07	present
Report sources of more than \$5,000 business affiliation for services prov the reporting period. This includes t	Excess Of \$5,000 Paid by One So compensation received by you or your ided directly by you during any one year of he names of clients and customers of any	corporation, firm, partnership, or other bus organization when you directly provided it of more than \$5,000. You need not report	ne services generating a fee or payment the U.S. Government as a source.		Incumbent, Filer, or Intial Ial Candidate
Source (Name and Address) wn, State	Legal services	Brief Description of Duties		
Metro University (client of I 1 University of Califonia, Oakla	Doe Jones & Smith), Moneytown, State	Legal services in connection with university of Professor at University of California, B	construction	erkeley National L	
2 Chinese University Hong Kong		Lecturer			
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SF 278 (Rev. 03/2000) 5 C.F.R. Part 2634 U.S. Office of Government Ethics

Reporting Individual's Name Steven Chu		CHEDULE D continued		Page Number	12	
Report any positions held during compensated or not. Positions in	Outside U.S. Government the applicable reporting period, whether clude but are not limited to those of an officer. proprietor, representative, employee, or	consultant of any corporation, firm, partner non-profit organization or educational inst social, fraternal, or political entities and th	titution. Exclude positions with religious	None		
	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.	
Examples: Nat'l Assn. of Rock Coll Doe Jones & Smith, Hor	metown, State	Non-profit education Law-firm	President Partner	6/92 7/85	Present 1/00	
Copenhagen Climate Cou	ncil, Copenhage, Denmark	non-profit	committee member	2007	present	
	es, Energy Security, Innovation & eering Committee, Washington, DC	non-profit	committee member	3/07	present	
3 University of California, B		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						
Report sources of more than \$5,0 business affiliation for services per the reporting period. This includes a source (Name and Additional Parameters). Doe Jones & Smith, Ho	In Excess Of \$5,000 Paid by One Sou 200 compensation received by you or your provided directly by you during any one year of les the names of clients and customers of any ress metown, State t of Doe Jones & Smith), Moneytown, State	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. Brief Description of Duttes Legal services Legal services in connection with university construction				
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Prior Editions Cannot Be Used.

NOTE1:

Nvidia Stock Options

Award	Award	Award	Vested	Unvested	Outstanding	Exercisable	Next	Final
Date	Amount	Price					Vest	Exercise
							Date	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