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

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination *(Month, Day, Year)*	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)*
						4-22-13

	Last Name	First Name and Middle Initial
Reporting Individual's Name	Chu	Steven
Position for Which Filing	Title of Position	Department or Agency *(If Applicable)*
	Secretary	Department of Energy
Location of Present Office (or forwarding address)	Address *(Number, Street, City, State, and ZIP Code)*	Telephone No. *(Include Area Code)*
	1000 Independence Avenue, SW, Washington, DC 20585	202-586-5000
Position(s) Held with the Federal Government During the Preceding 12 Months *(If Not Same as Above)*	Title of Position(s) and Date(s) Held	
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination	Do You Intend to Create a Qualified Diversified Trust?
	Not Applicable	☐ Yes ☒ No

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
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.	Steven Chu	5/20/2013
Other Review (If desired by agency)	Signature of Other Reviewer	Date *(Month, Day, Year)*
	S E Wade	5/23/2013
Agency Ethics Official's Opinion	Signature of Designated Agency Ethics Official/Reviewing Official	Date *(Month, Day, Year)*
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).	Susan F Beard	5/23/2013
Office of Government Ethics Use Only	Signature	Date *(Month, Day, Year)*
	Otticia Jayne	5-31-13.

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.

Agency Use Only

MAY 20 2013

OGE Use Only

MAY 24 2013

Supersedes Prior Editions.

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Reporting Individual's Name	SCHEDULE A	Page Number
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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												
For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income. For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse). None ☐	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
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 Helicos Bioscience Corporation	X																			X											
2 Vanguard Index Funds Mid Cap ETF					X								X									X									
3 Vanguard Index Funds Small Cap ETF	X												X							X											
4 Columbia Acorn International Fund	X												X							X											
5 Harbor Fund International Fund Inst					X								X										X								
6 Vanguard Index Funds Large Cap ETF					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.

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Chu, Steven		3 of 15

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										
	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 PIMCO Funds Pac Inv Mgmt Ser All Asset Auth I					X								X									X									
2 Matthews International Funds Asia Growth & Income Fund					X								X										X								
3 Matthews International FundsAsia Pacific Tiger Fund					X								X								X										
4 Unified Toreador Large Cap Institutional Fund					X								X											X							
5 PIMCO Funds Unconstrained Bond Fund						X							X											X							
6 PIMCO Total Return Bond Fund						X							X												X						
7 iShares Russell 1000 Index	X												X										X								
8 Ell Really Secs TR Global Prop Inst					X								X									X									
9 Franklin Global Tr International Small Company Growth Fund					X								X							X											

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
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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										
	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 Intentionally Left Blank																															
2 Cohen & Steers Institutional Global Reit Fund (AKA Cohen & Steers Global Bd Fd in CY 2011)	X												X								X									
3 PIMCO Funds PAC Inv Mgt Ser All Asset Institutional Fund (AKA PIMCO Asset Inst'l Fd)	X												X								X									
4 PIMCO Real Return Commodity Fund	X												X								X									
5 Cohen & Steers Institutional Global REIT Fund	X												X							X										
6 Fludigm, San Francisco, CA (Biotech)				X																X										
7 PIMCO Funds Pac Inv Mgmt Ser All Asset Auth I					X								X											X						
8 Wells Fargo (cash accounts - combined checking and savings)			X															X		X										
9 Intentionally Left Blank																															

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Chu, Steven		5 of 15

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									
	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 Intentionally Left Blank																															
2 PIMCO Funds PAC Inv Mgt SerAll Asset Institutional Fund (AKA PIMCO All Asset Ins'l Fd	X												X								X										
3 PIMCO Commodity Real Return Strategy Fund	X												X								X										
4 PIMCO Funds Pac Inv. Mgmt Ser All Asset Auth I				X									X										X								
5 Intentionally Left Blank																															
6 Intentionally Left Blank																															
7 Wells Fargo (cash accounts - checking and savings)				X														X			X										
8 Charles Schwab Money Market (SWZXX)							X						X							X											
9 Cisco Systems		X														X						X									

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
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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										
	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 Intentionally Left Blank																															
2 Intentionally Left Blank																															
3 *previously mislabeled as "Calvert Equity" on prior report, page 6, box 6 with this value cate.																															
4 TIAA-CREF, underlying assets																															
5 American EuroPacific Growth Fund (AEPFX)				X									X									X									
6 Boston Trust Small Cap Fund (BOSOX)			X										X									X									
7 *Calvert Bond Portfolio (CSIYX)			X										X								X									
8 Delaware Small Cap Value Fund (DEVIX)				X									X								X									
9 Diamond Hill Long-Short Fund (DIAMX)					X								X							X											

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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											
	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 Parnassus Equity Income Fund (PRBLX)					X								X											X							
2 Vanguard Emerging Markets (VWO)	X												X								X										
3 Pax World High Yield Bond Fund (PAXHX)				X									X											X							
4 American Century Inflation Protection Bond Fund (APOAX)	X												X							X											
5 SPDR DJ Wilshire REIT (RWR)				X									X									X									
6 Calvert Capital Accumulation Fund (CCAYX)				X									X										X								
7 Calvert Equity Portfolio (CIEYX)					X								X								X										
8 PIMCO Emerging Local Fond Fund (PLBDX)				X									X										X								
9 Third Avenue International Fund (TAVIX)*			X										X								X										

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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												
	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 DFA U.S. Social Core (DFUEX) - Equity 2 Portfolio Fund					X								X									X									
2 Harding Loevner Institutional Emerging Markets (HLMEX)			X										X								X										
3 iShares TR Barclays TIPS Bond Fund (TIP)			X										X									X									
4 TIAA-CREF Spouse Underlying Assets TIAA Traditional						X							X							X											
5 TIAA Real Estate			X										X							X											
6 TIAA-CREF Intelligent Variable Annuity Underlying Investments thru pagee 9, box 2																																
7 PVC MidCap Blend Account - Class 1			X										X							X											
8 TIAA-CREF Life Growth Equity			X										X							X											
9 TIAA-CREF Life International Equity			X										X							X											

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
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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												
		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 Life Large Cap Value			X										X							X											
2	TIAA-CREF Life Bond				X									X							X											
3	TIAA-CREF - Filer Underlying Assets listed below boxes 4-6																															
4	TIAA Traditional							X						X							X											
5	CREF Stock						X							X							X											
6	CREF Stock				X																X											
7	University of California Retirement Savings Plan Underlying Assets below																															
8	Defined Contribution UC TIPS Fund				X									X							X											
9	403b UC TIPS Fund					X								X							X											

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Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
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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												
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	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
1 457(b) UC TIPS Plan					X								X							X												
2 Fidelity VIP Index 500		X											X								X											
3 Stanford University (value of all patents at Note 1 not ascertainable)																	X						X									
4 Spouse has no income from royalties on her textbook previously reported on additional pages																																
5																																
6																																
7																																
8																																
9																																

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

Reporting Individual's Name	SCHEDULE B	Page Number
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Part I: Transactions

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

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

None ☐

	Identification of Assets	Transaction Type (x)			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
	Example: Central Airlines Common	x			2/1/99			x									
1	EII Really Secs Tr Global Property Institutional	X			5-9-12			X									
2	Franklin Global Tr International Small Company Growth	X			3-6-13				X								
3	Harbor Fund International Fund Institutional	X			5-9-12			X									
4	Matthews International Funds Asian Growth and Income	X			5-9-12		X										
5	Matthews International Funds PAC Tiger Fund	X			5-9-12		X										

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

Part II: Gifts, Reimbursements, and Travel Expenses

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

None ☒

	Source (Name and Address)	Brief Description	Value
	Examples: Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	$385
1	Jeong Kim, Washington, DC	Basketball tickets, (personal friend), Washington, DC	1200
2			
3			
4			
5			

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

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Part I: Transactions

	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	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			5-9-12		X										
2	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			3-6-13				X								
3	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			5-10-12				X								
4	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			9-20-12	X											
5	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			12-27-12	X											
6	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			12-31-12	X											
7	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			5-9-12				X								
8	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			9-20-12	X											
9	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			12-27-12	X											
10	PIMCO Funds Pac Inv Mgmt Ser All Assets Auth I	X			12-31-12	X											
11	Columbia Acorn Tr Int'l CL Z		X		5-9-12			X									
12	iShares Tr Russell 1000		X		3-6-13				X								
13	PIMCO Funds Unconstrained Bond Inst		X		5-9-12			X									
14	Vanguard Index Funds Small Cap ETF		X		5-9-12		X										
15	Vanguard Index Funds Small Cap ETF		X		5-9-12		X										
16	Vanguard Index Funds Small Cap ETF		X		5-9-12			X									

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

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

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

	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	Vanguard Index Funds Small Cap ETF		X		5-9-12		X										
2	Cohen & Steers Institutional Global REIT		X		5-9-12		X										
3	Cohen & Steers Institutional Global REIT		X		5-9-12		X										
4	PIMCO Funds Pac Inv Mgmt Ser All Asset Instutional		X		5-9-12			X									
5	PIMCO Real Estate Return Commodity Fund		X		4-27-12		X										
6	PIMCO Real Estate Return Commodity Fund		X		4-27-12		X										
7	PIMCO Funds PAC Inv Mgmt Ser All Institutional		X		5-9-12			X									
8																	
9																	
10																	
11																	
12																	
13																	
14																	
15																	
16																	

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

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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 ☐

	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, Washington, DC	Promissory note	1999	10%	on demand					X						
1	PNC Mortgage, Dayton, OH	Mortgage on personal residence	2009	4.25%	15					X						
2																
3																
4																
5																

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

Part II: Agreements or Arrangements

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

None ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	I continue to participate in the UC Retirement Savings Plan Program. No further employer contributions will be made	University of California	08/84
2	I continue to participate in TIAA-CREF through Stanford University. No furter employer contributions will be made.	Stanford University	1/87
3	Agreement for future employment	Stanford University	2/13
4			
5			
6			

Reporting Individual's Name	SCHEDULE D	Page Number
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Part I: Positions Held Outside U.S. Government

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

None ☒

	Organization *(Name and Address)*	Type of Organization	Position Held	From *(Mo., Yr.)*	To *(Mo., Yr.)*
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1					
2					
3					
4					
5					
6					

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

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

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

None ☐

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

Patent Number	Title Of Patent	Date Issued
8123898	Methods of bonding optical structures, bonding and silylation of optical structures, bonded opti	February 28, 2012

Methods of bonding optical structures, bonded optical structures, silylated bonded optical structures, and the like, are disclosed.

7462809	Spectral filter system for infrared imaging of substrates through coatings	December 9, 2008

An improved system for visual inspection of substrates coated with paints and polymers is disclosed. Painted substrates can be inspected for environmental and physical damage such as corrosion and cracks without removing the paint. The present invention provides the ability to maximi

7164146	System for detecting structural defects and features utilizing blackbody self-illumination	January 16, 2007

A system is disclosed which utilizes the substantially steady-state temperature of a coated object, in conjunction with an optical detection system, to selectively view defects and features of the object below the coating without the necessity of transient heating or IR illumination and

7013739	System and method for confining an object to a region of fluid flow having a stagnation point	March 21, 2006

A device for confining an object to a region proximate to a fluid flow stagnation point includes one or more inlets for carrying the fluid into the region, one or more outlets for carrying the fluid out of the region, and a controller, in fluidic communication with the inlets and outlets

6684645	Cooling by resonator-induced coherent scattering of radiation	February 3, 2004

The invention relates to a method and apparatus for cooling multilevel entities such as atoms, ions or molecules as well as entities with no apparent internal structure. Cooling is achieved by coherent scattering, where the frequency of the emitted radiation exceeds the frequency of the

5528028	Frequency standard using an atomic stream of optically cooled atoms	June 18, 1996

Beams of laser light trap and cool cesium atoms in a small vapor cell and put the atoms in a particular quantum mechanical state. The lasers are then configured so as to launch the atoms upward by shifting

the frequencies of the vertically propagating lasers. The atoms pass through a

5512745 Optical trap system and method April 30, 1996

By providing a focal region of light onto a particle, a laser-based light source can provide enough radiation pressure to position the particle at any desired location in space. In one application, the particle can be a micrometer-sized bead, called a handle, attached to a sample. When t

5338930 Frequency standard using an atomic fountain of optically trapped atoms August 16, 1994

Beams of laser light trap and cool cesium atoms in a small vapor cell and put the atoms in a particular quantum mechanical state. The lasers are then configured so as to launch the atoms upward by shifting the frequencies of the vertically propagating lasers. The atoms pass through a

5274232 Method and apparatus for manipulating atoms, ions or molecules and for measuring physical quanti December 28, 1993

According to the invention, quantum objects, such as atoms, ions, and molecules, are controllably moved by stimulating selected non-radiative energy levels within a quantum structure in accordance with the principles of stimulated Raman transitions. The movement is effected by timed

5274231 Method and apparatus for manipulating atoms, ions or molecules and for measuring physical quanti December 28, 1993

Quantum objects, such as atoms, ions, and molecules, are controllably moved by stimulating selected non-radiative energy levels within a quantum structure in accordance with the principles of stimulated Raman transitions. The movement is effected by timed excitation of individual qua

5079169 Method for optically manipulating polymer filaments January 7, 1992

Method and apparatus for manipulating a microscopic particle by single-beam gradient optical trapping, using an optical beam whose trapping force is substantially independent of position within a view field. The apparatus may be used to extend a polymer filament, and to fix the extended

4742224 Charged particle energy filter May 3, 1988

An ion energy filter of the type useful in connection with secondary ion mass spectrometry is disclosed. The filter is composed of a stack of 20 thin metal plates, each plate being insulated from the others and having a centrally located hole with a unique radius. A metallic hemisphere i