OGE Form 278 (Rev. 09/2010)
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): 1/20/2009 jw 4/22/11	Reporting Status (Check Appropriate Boxes): Incumbent [X]; New Entrant, Nominee, or Candidate [ ]; Termination Filer [ ]	Calendar Year Covered by Report: 2010	Termination Date (If Applicable) (Month, Day, Year):
Reporting Individual's Name	Last Name: Chu	First Name and Middle Initial: Steven	
Position for Which Filing	Title of Position: Secretary	Department or Agency (If Applicable): Department of Energy	
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code): 1000 Independence Avenue, SW, Washington, DC 20585	Telephone No. (Include Area Code): 202-586-6215	
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: Committee on Energy and Natural Resources	Do You Intend to Create a Qualified Diversified Trust? [ ] Yes [X] No	
Certification: I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	Signature of Reporting Individual: (signature)	Date (Month, Day, Year): 4/16/2011	
Other Review (If desired by agency)	Signature of Other Reviewer: Sue E Wadel	Date (Month, Day, Year): 7/14/11	
Agency Ethics Official's Opinion: On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).	Signature of Designated Agency Ethics Official/Reviewing Official: Susan F Beard	Date (Month, Day, Year): 7/15/11	
Office of Government Ethics Use Only	Signature: (signature)	Date (Month, Day, Year): 8/22/11	

Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)

① changes made by LSyme per Dept. Energy ethics official. 8/17/11.

(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

5/16/2011 mr

OGE Use Only

JUL 19 2011

Supersedes SF 278 Editions.

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Chu, Steven

SCHEDULE A

Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual amount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

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

#	Assets and Income (Block A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
Examples	Central Airlines Common				x												x						x										
Examples	Doe Jones & Smith, Hometown, State			x																												Law Partnership Income $130,000	
Examples	Kempstone Equity Fund					x								x										x									
Examples	IRA: Heartland 500 Index Fund							x						x											x								
1	University of California Retirement Savings Plan Program Berkeley, CA																																
2	Defined Contribution UC TIPS Fund				X									X							X												
3	403(b) UC TIPS Fund					X								X							X												
4	457(b) UC TIPS Plan					X								X							X												
5	Fludigm San Francisco, CA (Biotech)		X																		X												
6	Nvidia - stock options see NOTE 1	X																														2,764,931.89 ordinary income	

* 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: Chu, Steven

SCHEDULE A continued
(Use only if needed)

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

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Vanguard California Tax Exempt Money Market Fund							X						X								X											
2	TIAA CREF: Traditional						X												X							X							
3	TIAA CREF: CREF Stock						X														X												
4	Charles Schwab Schwab One: Cash Account									X									X				X										
5	Charles Schwab CISCO Systems			X																	X												
6	Charles Schwab SEP Plan - Deposit Account				X																X												
7	Charles Schwab Contributory IRA - Total Money Market Funds (Sweep)					X								X							X												
8	Fidelity Investments- Annuity Fidelity VIP Index 500		X											X									X										
9	TIAA CREF - Spouse: Life Money Market	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.

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name

Chu, Steven

SCHEDULE A continued

(Use only if needed)

	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Wells Fargo PMA Package: Prime Checking			X															X		X												
2	Wells Fargo PMA Package: Savings				X														X		X												
3	Wells Fargo Checking (Spouse)		X																X		X												
4	Wells Fargo Savings (Slpouse)				X														X		X												
5	Wells Fargo Joint Checking				X														X		X												
6	Patents - see NOTE 2																															Royalties $2834	
7	Helicos Biosciences Corporation			X																	X												
8	Stanford University Press - Spouse See NOTE 3																	X				X											
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.

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

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

Assets and Income BLOCK A	Valuation of Assets at close of reporting period BLOCK B: None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. BLOCK C — Type: Dividends	Rent and Royalties	Interest	Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 TIAA-CREF - Spouse TIAA Traditional ✓						X												X					X									
2 CREF Stock							X						X											X								
3 CREF Global Equities			X										X									X										
4 T-C Growth and Income			X										X									X										
5 T-C Mid- Cap Value			X										X										X									
6 T-C Large-Cap Value Index			X										X									X										
7 T-C Small-Cap BI Index			X										X										X									
8 T-C Intl Equity Index				X									X										X									
9 TIAA Real Estate			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.

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name	SCHEDULE A continued (Use only if needed)	Page Number
Chu, Steven		6 of

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

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	TIAA-CREF - Spouse CREF Bond Market			X										X							X												
2	CREF Inflation Linked Bond see pg 5, box 5 prior rpt		X											X							X												
3	T-C Intl-Linked Bond			X										X							X												
4	T-C Bond - retirement see pg. 5, box 7 prior rpt				X									X							X												
5	Intelligent Variable Annuity TIAA CREF Life Growth Equity			X										X							X												
6	Intelligent Variable Annuity PVC MidCap Blend Account			X										X							X												
7	Intelligent Variable Annuity TIAA-CREF Life International Equity			X										X							X												
8	Intelligent Variable Annuity TIAA-CREF Life Large Cap			X										X							X												
9	Intelligent Variable Annuity TIAA-CREF Life Bond				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.

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Chu, Steven

SCHEDULE A continued
(Use only if needed)

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	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	Additional patents - see NOTE 4																																
2	Corestaff Services Howard Hughes Institute																															Spousal Income	
3	Chevy Chase, MD																																
4																																	
5																																	
6																																	
7																																	
8																																	
9																																	

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.

* 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.

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

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

Reporting Individual's Name: Chu, Steven

SCHEDULE B

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): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
Example	Central Airlines Common	x			2/1/99			x									
1	NVIDIA stock sale		X		12/2010								X				
2	PVC MidCap Blend Account - Class 1 (spouse)	X			11/18/10		X										
3	TIAA-CREF Life Growth Equity (spouse)	X			11/18/10		X										
4	TIAA-CREF Life International (spouse)	X			11/18/10		X										
5	TIAA-CREF Life Money Market (spouse)		X		11/18/10				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 $335 and (2) travel-related cash reimbursements received from one source totaling more than $335. 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 $134 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)	$350
1			
2			
3			
4			
5			

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

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

Reporting Individual's Name
Chu, Steven

SCHEDULE B continued
(Use only if needed)

Part I: Transactions

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	TIAA-CREF Life Large Cap (spouse)	X			11/18/10		X										
2	TIAA-CREF Life Bond (spouse)	X			11/18/10			X									
3																	
4																	
5																	
6																	
7																	
8																	
9																	
10																	
11																	
12																	
13																	
14																	
15																	
16																	

per filer 7/14/11

*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.

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name		Page Number
Chu, Steven	SCHEDULE C	

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 ☒ per filer [illegible] 7/14/11

	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	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x								
	John Jones, Washington, DC	Promissory note	1999	10%	on demand					x						
1																
2																
3																
4																
5																

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

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (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 will continue to participate in the UC Retirement Savings Plan Program. No further employer contributions will be made	University of California	8/2004
2	I will continue to participate in TIAA-CREF through Stanford University. No further employer contributions will be made	Standford University	1987
3			
4			
5			
6			

Reporting Individual's Name	SCHEDULE D	Page Number
Chu, Steven		11 of 11

Part I: Positions Held Outside U.S. Government

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

per filer
SW 7/14/11

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			

NOTE1:

Nvidia Stock Options

Award Date	Award Amount	Award Price	Vested	Unvested	Outstanding	Exercisable	Next Vest Date	Final Exercise Date
7/1/04	225,000	$6.8233	225,000		225,000	225,000		6/30/10
8/1/05	75,000	$9.02	75,000		75,000	75,000		7/31/11

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 ~~2009~~. The value of these patents is not ascertainable.

2010

MY

7/14/2011

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

10. Methods of Bonding Optical Structures, Bonding and Silylation of Optical Structures, Bonded Optical Structures, and Silylated Bonded Optical Structures: U.S. patent No. 11/936,947; Filed July 18, 2007; holders Sanjeevi Sivasankar and Steven Chu

11. PCT Patent Application Serial Number PCT/US2009/066249, filed 12/1/2009, entitled "IMAGING ARRANGEMENT AND MICROSCOPE", by Steven Chu and Alexandros Pertsinidis (Berkeley Lab case number JIB-2619-PCT).