
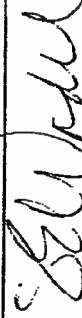

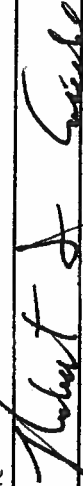


Executive Branch Personnel Political Financial Disclosure Report

5 SF 2 1.03/2000
5 C.J. 12634
U.S. Office of Government Ethics

Approved:
No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year) 7/27/09 (823-1/22/09)	Reporting Status (Check Appropriate Boxes) <input type="checkbox"/> Incumbent <input checked="" type="checkbox"/> New Entrant, Nominee, or Candidate	Calendar Year Covered by Report 2009	Termination (If Applicable) (Month, Day, Year) Filer <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	Fee for Late Filing Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a \$200 fee.
Reporting Individual's Name Last Name: Zoi		First Name and Middle Initial Catherine		R.	
Position for Which Filing Asst Secretary for Energy Efficiency and Renewable Energy		Department or Agency (If Applicable) Department of Energy		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.	
Location of Present Office (or forwarding address) Alliance for Climate Protection, 800 El Camino Real, Menlo Park, CA 94025		Telephone No. (Include Area Code) 650-566-9730		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.	
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above) None		Do You Intend to Create a Qualified Diversified Trust? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Presidential Nominees Subject to Senate Confirmation		Name of Congressional Committee Considering Nomination Committee on Energy and Natural Resources			
Certification (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 			
Other Review (If desired by agency)		Signature of Other Reviewer 			
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 			
Office of Government Ethics Use Only		Signature 			
Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)		Date (Month, Day, Year) 4/14/09 Date (Month, Day, Year) 4/28/09 Date (Month, Day, Year) 4/28/09			
(Check box if filing extension granted & indicate number of days _____) <input type="checkbox"/>					
(Check box if comments are continued on the reverse side) <input type="checkbox"/>					
Agency Use Only					
OGE Use Only					
APR 28 2009					

Reporting Individual's Name
Zoi, Catherine R.

SCHEDULE A continued
(Use only if needed)

Page Number
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BLOCK A Assets and Income	BLOCK B Valuation of Assets at close of reporting period										BLOCK C Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.										Date (Mo., Day, Yr.) Only if Honorary					
	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.															
	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.															
	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	Over \$25,000,000	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 Honorary		
1 Vanguard PRIMECAP Fund Admiral Shares												X														
2 Vanguard Windsor II Fund Admiral Shares					X																					
3 Vanguard International Growth Fund Admiral Shares					X																					
4 Vanguard Total Stock Market Index Fund Admiral Shares																										
5 AZZ Inc.																										
6 Administaff Inc.																										
7 Apple																										
8 Baxter International																										
9 Berkshire Hathaway																										

* 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
Zoi, Catherine, R.

SCHEDULE A continued

(Use only if needed)

Page Number

4 of 12

Assets and Income	BLOCK B Valuation of Assets at close of reporting period										BLOCK C Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																
	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.																
	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.																
	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	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 AMP Sustainable Future Australian Share Fund													X														
2 Landis + Gyr Ordinary Shares-Zug, Switzerland																											
3 Landis + Gyr Founder's Shares-Zug, Switzerland (Electric Power Meter Co.)																											
+ Serious Materials Sunnyvale, CA																											
5 Serious Materials Vested Stock Options (total of 120,000 shares)																											
6 30,000 shares will vest on 10/1/09 at strike price of \$1.60 per share																											
7 2500 shares will vest monthly from 10/1/09 until 10/1/12 at strike price of \$1.60 per share																											
8 Value of options not readily ascertainable. All Serious Materials options expire 11/5/2018																											
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.

Reporting Individual's Name
Zoi, Catherine, R.

SCHEDULE A continued
(Use only if needed)

Page Number

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Assets and Income	BLOCK B Valuation of Assets at close of reporting period										BLOCK C Amount										Date (Mo., Day, Yr.) Only if Honoraria						
	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000		Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
Type																											
Dividends																											
Rent and Royalties																											
Interest																											
Capital Gains																											
1 Carter's Inc.													X														
2 CTRIP.COM International																											
3 Dell																											
4 Discover Financial Services																											
5 E House China Holding																											
6 Exelon																											
7 FPL Group																											
8 First Energy																											
9 Focus Media Holdings																											

* 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
Zoi, Catherine R.

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 - \$50,001	\$50,001 - \$100,000	\$100,001 - \$250,001	\$250,001 - \$500,001	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,001	\$5,000,001 - \$25,000,001	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
Example Central Airlines Common	X			2/1/99													
1																	
2																	
3																	
4																	
5																	

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

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than \$260, and (2) travel-related cash reimbursements received from one source totaling more than \$260. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. Exclude anything given to you by

the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth \$104 or less. See instructions for other exclusions. None

Source (Name and Address)	Brief Description	Value
Examples Nat'l Assn. of Rock Collectors, NY, NY Frank Jones, San Francisco, CA	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty) Leather briefcase (personal friend)	\$ 500 \$ 300
1		
2		
3		
4		
5		

Reporting Individual's Name
 Zoi, Catherine R.

SCHEDULE C

Page Number
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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

Examples	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x)
1	First District Bank, Washington, DC John Jones, 123 St., Washington, DC	Mortgage on rental property, Delaware Promissory note	1991 1999	8% 10%	25 yrs. on demand	\$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 \$1,000,001 - \$5,000,000 \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 \$50,000,001 - \$250,000,000 \$250,000,001 - \$500,000,000 Over \$500,000,000
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

Example	Status and Terms of any Agreement or Arrangement	Parties	Date
1	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/7/00.	Doe Jones & Smith, Hometown, State	7/85
2	Colonial First Superannuation Fund--Contributory Retirement Fund (No contributions are being made). Available for Disbursement from age of 55. All three employers listed at right contributed to this fund.	New South Wales Sustainable Energy Development Authority	03/96
3		New South Wales Environmental Protection Authority	1/02
4		Bayard Group	10/03
5			
6			

Reporting Individual's Name
Zoi, Catherine R.

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

Examples	Organization (Name and Address)		Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
	Non-profit education Law firm	Non-profit education Law firm				
1	Nat'l Assn. of Rock Collectors, NY, NY Doe Jones & Smith, Hometown, State	Non-profit education Law firm	President Partner		6/92	Present 1/00
2	Alliance for Climate Protection--Menlo Park, CA	Non-profit education	Chief Executive Officer		01/2007	Present
3	California Clean Energy Fund	Non-profit venture capital technology firm	Board Member		04/2007	Present
4	The Climate Institute	Non-profit education	Board Member		01/2005	Present
5						
6						

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

Report sources of more than \$5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other

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

None

Examples	Source (Name and Address)		Brief Description of Duties
	Legal services Legal services in connection with university construction	Legal services in connection with university construction	
1	Doe Jones & Smith, Hometown, State Metro University (client of Doe Jones & Smith), Hometown, State	Chief Executive Officer	
2	Alliance for Climate Protection--Menlo Park, CA		
3			
4			
5			
6			

RECUSAL STATEMENT

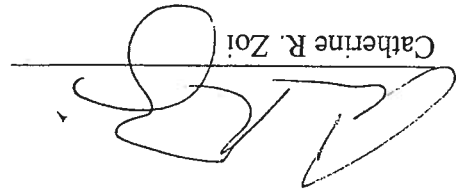
CATHERINE R. ZOI

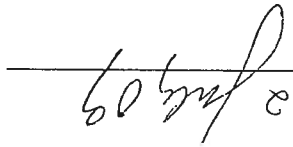
1. In accordance with the United States Senate Committee on Energy and Natural Resources Recusal Policy (Recusal Policy) dated May 6, 1993, and 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

2. My spouse and I will divest our financial interest in the following entities within 90 days of my confirmation: AZZ Incorporated, Exelon, FPL Group, First Energy, General Electric, Goldman Sachs, Morgan Stanley, Science Applications International Corporation, AMP Sustainable Future Australian Share Fund, and Suntech Power. We will also divest the following investment funds within the Colonial First Superannuation Fund and the Australian Super, which are foreign retirement plans: The Global Resources Fund (held within the Colonial First Superannuation Fund), and the Balanced Investment Option (held within the Australian Super) and the Sustainable Balanced Option (held within the Australian Super). I understand that I may be eligible to request a Certificate of Divestiture for these assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will divest these assets within 90 days of my confirmation and will invest the proceeds in non-conflicting assets. With regard to each of these entities, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

3. My spouse is an employee of Serious Materials and Next Energy. In addition, my spouse and I have an interest in Landis & Gyr. Accordingly, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interest of any one or more of these entities, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

4. For a period of one year after my resignation, I also have a "covered relationship" pursuant to 5 C.F.R. § 2635.502 with my former employer, Alliance for Climate Protection. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). I understand that the Recusal Policy prohibits authorization of a waiver under 5 C.F.R. § 2635.502(d). You have further advised me that the Recusal Policy extends this "covered relationship" for the duration of my service in the position of Assistant Secretary for Energy Efficiency and Renewable Energy with regard to those particular matters involving specific parties in which I participated personally and substantially in my previous position with this entity, when the matter is one in which the Department of Energy is a party or has a substantial interest.
5. I also have a "covered relationship" pursuant to 5 C.F.R. § 2635.502 with California Clean Energy Fund and the Climate Institute because I served as a board member of each organization. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which California Clean Energy Fund or the Climate Institute is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). I understand that the Recusal Policy prohibits authorization of a waiver under 5 C.F.R. § 2635.502(d). You have further advised me that the Recusal Policy extends this "covered relationship" for the duration of my service in the position of Assistant Secretary for Energy Efficiency and Renewable Energy with regard to those particular matters involving specific parties in which I participated personally and substantially in my previous position with this entity, when the matter is one in which the Department of Energy is a party or has a substantial interest.
6. Pursuant to Executive Order 13490, I will not for a period of 2 years from the date of my appointment participate in any particular matter involving specific parties, including contracts and rulemaking, that is directly and substantially related to any former employer, including service as a board member, or former client for whom I have provided services other than for a speech or similar appearance, within two years prior to my appointment, unless I obtain a waiver under the Executive Order.
7. I have directed Udai Rohatgi, a Special Assistant and direct report to me to route all matters from which I am recused to Steven Chalk for appropriate action..


Catherine R. Zoi


Date 2 July 09