

UNITED STATES SENATE
COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

1. Name: **Ernest** **Jeffrey** **Moniz**
 (first) (middle) (last)

2. Position to which nominated
Secretary of Energy

3. Date of nomination
March 7, 2013

4. Place of birth:
Fall River, Massachusetts

5. Name of spouse: **Naomi** **Hoki** **Moniz**
 (first) (middle) (last)

6. Spouse's occupation: **Professor (retired)**
Spouse's employer: **Georgetown University**

7. Education: Please list, in chronological order, from the earliest to the latest, each college, university, and graduate school you attended, when you attended, the degrees you received, and the date on which you received it.

Name of institution	Dates attended	Degree received	Date of degree
Boston College	9/1962-6/1966	B.S. physics	6/1966
Stanford University	9/1966-8/1971	PhD physics	1/1972

8. Employment: Please list, in chronological order, from the earliest to the present, all positions held since college, including dates of employment, your title or job description, the name of the employer, and the city and state in which you were employed.

Dates	Title	Name of employer	Location
9/71-4/72	NSF Postdoctoral Fellow	C.E.N. Saclay	Saclay, France
4/72-8/73	Postdoctoral Researcher	University of Pennsylvania	Philadelphia, PA
9/73-present	Professor*	Massachusetts Institute of Technology	Cambridge, MA

***Other positions at MIT:**

Director, MIT Energy Initiative and Laboratory for Energy and Environment (11/06-present)

Head, Department of Physics (9/91-10/95, 2/97-9/97)

Director, Bates Linear Accelerator Center (7/83-10/91)

Note: on unpaid leave of absence from MIT during government service indicated below

10/95-1/97	Associate Director, Science	Office of Science and Technology Policy	Washington DC
10/97-1/01	Under Secretary	Department of Energy	Washington DC

9. Military service: Please describe any military service not listed above, including dates, rank, and type of discharge.

None

10. Honors and awards: Please list any scholarships, fellowships, honorary degrees, military medals, honorary society memberships, and any other special recognition for outstanding service or achievement you have received.

Philometheia Medal (1st rank in graduating class), Boston College (1966)

National Science Foundation Postdoctoral Fellow (1971-1972)

Fellow, American Association for the Advancement of Science (1987)

Fellow, American Physical Society (1990)

Senior Research Fellow, Alexander von Humboldt Foundation (1990)

Honorary Doctorate, University of Athens (Greece, 1997)

Seymour Cray High Performance Computing Industry Recognition Award (1998)

Boston College Distinguished Alumnus Award for Science (1999)

Honorary Doctorate, University of Erlangen-Nuremberg (Germany, 2000)

Secretary of Energy Gold Award for Exceptional Service (2001)

Honorary Doctorate, Michigan State University (2004)

Cecil and Ida Green Distinguished Professorship, MIT (2006)

Grand Cross of the Order of Makarios III (Cyprus, 2007)

11. Publications: Please list the titles, publishers, and dates of any books, articles, or reports that you have written.

Energy- and Security-Related

Stimulating Energy Technology Innovation; Daedalus, American Academy of Arts and Sciences (2012)

The Future of Natural Gas; MIT/ISBN 978-0-9828008-3-6 (2011)

The Future of the Nuclear Fuel Cycle; MIT/ISBN 978-0-9828008-4-3 (2011)

Why We Still Need Nuclear Power; Foreign Affairs (2011)

The Future of Coal; MIT/ISBN 978-0-615-14092-6 (2007)

The Nuclear Option; Scientific American (2006)

Technology Development and Energy Security, chapter in Energy & Security: Toward a New Foreign Policy Strategy; Woodrow Wilson Center Press (2005)

Making the World Safe for Nuclear Energy; Survival, International Institute for Strategic Studies (2004-2005)

The Future of Nuclear Power; MIT/ISBN 0-615-12420-8 (2003)

Meeting Energy Challenges; Physics Today (2002)

Report to the American Physical Society by the Study Group on Nuclear Fuel Cycles and Waste Management; American Institute of Physics (1978)

Publications related to Service as a Special Government Employee

Numerous reports of the President's Council of Advisors on Science and Technology (2009-present)

Report to the Secretary of Energy by the Blue Ribbon Commission on America's Nuclear Future (2012)

Publications of the National Research Council (National Academies studies)

Research Universities and the Future of America (2012)

Committee on Evaluation of Quantification of Margins and Uncertainties Methodology for Assessing and Certifying the Reliability of the Nuclear Stockpile (2008)

Going the Distance? (2006)

Physics Research Publications

Correlation Effects in Nuclear Transparency; *Physical Review* (1995)

Signatures of Confinement in Axial Gauge QCD; *Annals of Physics* (1995)

Doorway State Expansion Approach to Coupled Channels Problems and Application to Heavy Ions; *Annals of Physics* (1994)

Nuclear Response Functions at Large Energy and Momentum Transfer in *Modern Topics in Electron Scattering*; World Press, Singapore (1991)

Y-Scaling in a Simple Quark Model; *Physical Review* (1988)

Effective Hadron Theories from a Quark Model; *Physical Review* (1987)

Pion-Nucleon Bremsstrahlung and Delta Electromagnetic Moments; *Physical Review* (1987)

Pion Optical Potential with Delta Dynamics; *Physical Review* (1986)

Quark Exchange and Hadronic Interactions; *Annals of Physics* (1986)

Hadron Structure in a Simple Model of Quark/Nuclear Matter; *Physical Review* (1985)

Energy-Independent Optical Potentials: Construction and Limitations; *Physical Review* (1984)

Nuclear Photoabsorption and Compton Scattering at Intermediate Energy; *Annals of Physics* (1984)

Coherent Pi-0 Photoproduction at Intermediate Energy; *Physical Review* (1983)

Doorway State Approach to Optical Potential Scattering; *Annals of Physics* (1980)

Dynamical Polarization in Pionic Atoms; *Physical Review* (1979)

Isobar-Hole Doorway States and Pi-¹⁶O Scattering; *Annals of Physics* (1979)

Pion-Nucleus Interactions, E. J. Moniz, in *Nuclear Physics with Heavy Ions and Mesons*; North-Holland (1978)

Radiation Reaction in Nonrelativistic Quantum Electrodynamics; *Physical Review* (1977)

Meson Exchange Currents in Nuclei; *Comments in Nuclear and Particle Physics* (1977)

Motion of Extended Charges in Classical Electrodynamics; *American Journal of Physics* (1977)

Inverse Scattering Problem with Isobars; *Physical Review* (1977)

Inelastic Shadowing Effects in Multiple Scattering; *Annals of Physics* (1975)

Off-Shell Pi-N Amplitudes via a Multichannel Separable Potential; *Annals of Physics* (1974)

Coupled Channel Approach to the Off-Shell Transition Matrix; *Physics Letters* (1973)

Nuclear Fermi Momenta from Quasielastic Electron Scattering; *Physical Review Letters* (1971)

High Energy Coherent Processes with Nuclear Targets; *Annals of Physics* (1971)

Effect of Correlations on High-Energy Processes Using Nuclear Targets; *Physics Letters* (1969)

Pion Electroproduction from Nuclei; *Physical Review* (1969)

12. Testimony: Please identify each instance in which you have testified before Congress in a non-governmental capacity.

Subject of testimony	Committee	Date
FY1989 Dept. of Energy Authorization	House Science Committee	3/23/88
Nomination for Undersecretary of Energy	Senate Energy and Natural Resources	9/18/97
Energy Science and Technology R&D	Senate Energy and Natural Resources	7/18/01
Electricity beyond Oil and Gas	Senate Energy and Natural Resources	4/27/04
EWD Appropriations for 2007	House Energy & Water Appropriations	4/6/06
Nuclear Energy	House Energy & Water Appropriations	9/13/06
EWD Appropriations for 2008	House Energy & Water Appropriations	2/16/07
Future of Coal	Senate Energy and Natural Resources	3/22/07
Fukushima and Nuclear Power	Sen. Energy & Water Appropriations	3/30/11
LWR Small Modular Reactors	Sen. Energy & Water Appropriations	7/14/11
MIT Future of Natural Gas Study	Senate Energy and Natural Resources	7/19/11
Quadrennial Energy and Technology Reviews	Senate Energy and Natural Resources	11/15/11

13. Financial report: Please attach a copy of your Executive Branch Personnel Public Financial Disclosure Report (SF 278), and a statement from the appropriate agency ethics official explaining the applicable laws or regulations applicable to the position to which you have been nominated, any potential conflicts of interest, and any action required to resolve such conflicts.

Please see attached as well as submission to the Committee by the Office of Government Ethics.

14. Clients: At any time during the past 5 years, have you or any company or firm with which you have been affiliated, received a fee or payment of more than \$5,000 from any source that is not listed on Schedule D, Part II of your SF 278, for services you performed for that source? If so, Please identify the source of the payments, the nature of the service you performed, and the period of time when you performed the service.

No

ADDITIONAL QUESTIONS

15. Agreements or arrangements:

(a) Will you sever all connections with your present employer, business firm, association, or organization if you are confirmed by the Senate? If not, please explain.

I will retire from MIT and resign from all boards, advisory committees and consultant positions.

(b) Has anyone made a commitment to you to employ or compensate you after you leave public service? If so, please explain.

No

16. Term of service: If confirmed, are you willing and able to serve for your full term (if appointed for a fixed term) or until the end of the current Presidential Administration (if appointed for an indefinite term)? If not, please explain.

Yes

17. Legal proceedings:

(a) Are you currently a party to any legal action? If so, please describe its nature and status.

No

(b) Have you ever declared bankruptcy? If so, please describe the circumstances.

No

(c) Have you ever been investigated, arrested, or charged by any federal, state, or local law enforcement authority for the violation of any federal, state, or local law, regulation, or ordinance, other than a minor traffic offense? If so, please explain.

No

(d) Have you ever been convicted (including a plea of guilty or no contest) of any criminal violation other than a minor traffic offense? If so, please explain.

No

(e) Have you ever been disciplined or cited for a breach of ethics for unprofessional conduct by, or been the subject of a complaint to, any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please explain.

No

18. Taxes:

(a) Have you and your spouse filed all federal, state, and local income tax returns?

Yes

(b) Have you or your spouse ever filed a late income tax return without a valid extension? If so, please explain.

No

(c) Have you or your spouse ever paid any tax penalties or been subject to a tax lien or other tax collection procedure? If so, please explain.

No

19. Foreign ties:

(a) Have you or your spouse ever represented in any capacity (e.g., employee, attorney, accountant, consultant, or business, media, or political adviser), with

or without compensation, a foreign government or an entity controlled by a foreign government? If so, please fully describe such relationship.

No

(b) During the past 10 years, have you or your spouse received any compensation from, or been involved in any financial or business transactions with, a foreign government or an entity controlled by a foreign government? If so, please furnish details.

No

(c) Have you or your spouse ever registered under the Foreign Agent Registration Act? If so, please furnish details.

No

20. Lobbying: Please describe any lobbying activity that you have performed during the past 10 years with respect to legislative or administrative actions at the Federal, State, or local level.

None

21. Appearances before Congress: If confirmed, will you be available to appear before this Committee and other Congressional committees to represent agency positions and respond to issues of concern to the Congress?

Yes

22. Conflicts of interest:

(a) Have your investments, personal holdings, and other interest been reviewed by yourself and the appropriate ethics counselors within the Federal Government to determine if any of your investments, personal holdings, or other interest could constitute a conflict of interest or create the appearance of such a conflict?

Yes

(b) Have you taken appropriate action to avoid any conflict of interest or any appearance of a conflict of interest?

In connection with the nominations process, I have consulted with the Office of Government Ethics and the Department of Energy's designated agency ethics official to identify any potential conflicts of interest. Any

potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department of Energy's ethics official and has been provided to this Committee. I am not aware of any other potential conflict of interest.

(c) To the best of your knowledge, do any of your investments, personal holdings, or other interests present a conflict of interest or an appearance of a conflict of interest?

In connection with the nominations process, I have consulted with the Office of Government Ethics and the Department of Energy's designated agency ethics official to identify any potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department of Energy's ethics official and has been provided to this Committee. I am not aware of any other potential conflict of interest.

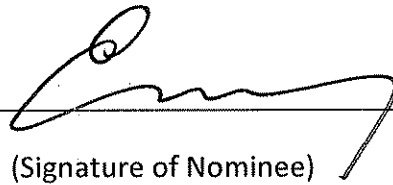
23. Recusal: The Committee on Energy and Natural Resources requires every Presidential nominee it considers to commit to adhere to the Recusal Policy adopted by the Committee on February 16, 2011 (a copy of which is attached to this Statement). If confirmed, will you adhere to the Committee's recusal policy?

Yes

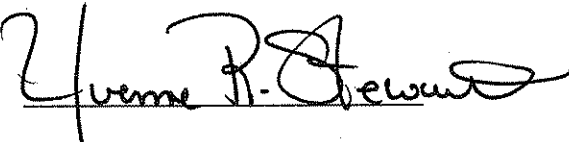
AFFIDAVIT

I, ERNEST J. MONIZ, being duly sworn, hereby state that I have read the foregoing Statement for Completion by Presidential Nominees, including all attachments thereto, and that the information provided therein is, to be best of my knowledge and belief, current, accurate, and complete.

I understand that the Statement and its attachments may be made public.


(Signature of Nominee)

Subscribed and sworn to before me this 11th day of March, 2013.


(Signature of Notary Public)

YVONNE R. STEWART
NOTARY PUBLIC DISTRICT OF COLUMBIA
My Commission Expires May 31, 2013

February 16, 2011

United States Senate
Committee on Energy and Natural Resources
Recusal Policy

Each nominee coming before the Committee on Energy and Natural Resources shall agree to:

- (1) Abide by the recusal requirements imposed by federal conflict of interest laws and the Standards of Ethical Conduct for Employees of the Executive Branch;
- (2) Seek the advice of his or her designated agency ethics officer before proceeding whenever faced with a situation that may give rise to an actual or apparent conflict of interest; and
- (3) Adhere to the principles of ethical conduct and avoid any actions creating the appearance of violating the Standards of Ethical Conduct for Employees of the Executive Branch.