



FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hans Keirstead
Status: Congressional Candidate
State/District: CA48

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2017
Filing Date: 05/3/2018
Period Covered: 01/01/2016– 10/15/2017

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Aivita Biomedical, 75% Interest [OL]		\$5,000,001 - \$25,000,000	None		
LOCATION: Irvine, CA, US					
DESCRIPTION: Company develops treatments and runs clinical trials for cancer, develops and sells skin care product with profits allocated to furthering cancer research and treatment. Income reported on schedule C					
Bernstein Managed Investment account: Ocean Holdings ⇒ AB Discovery Growth Fund [EF]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	None
Bernstein Managed Investment account: Ocean Holdings ⇒ AB Discovery value Fund [EF]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	None
Bernstein Managed Investment account: Ocean Holdings ⇒ AB high income municipal port advisor class [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Bernstein Managed Investment account: Ocean Holdings ⇒ AB international small cap portfolio adv [EF]	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Bernstein Managed Investment account: Ocean Holdings ⇒ AB international strategic [EF]	JT	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ AB small cap Core Portfolio [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Adobe Systems Incorporated (ADBE) [ST]	JT	\$1,001 - \$15,000	None		
Bernstein Managed Investment account: Ocean Holdings ⇒ Aetna Inc. (AET) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Allstate Corporation (ALL) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	\$1,001 - \$2,500
Bernstein Managed Investment account: Ocean Holdings ⇒ Altria Group, Inc. (MO) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ American Electric Power Company, Inc. (AEP) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ American International Group, Inc. New (AIG) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Apple Inc. (AAPL) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Applied Materials, Inc. (AMAT) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings	JT	\$1,001 - \$15,000	Capital Gains,	\$201 -	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
⇒ Bank of America Corporation (BAC) [ST]			Dividends	\$1,000	
Bernstein Managed Investment account: Ocean Holdings ⇒ Bernstein CA Municipal portfolio [GS]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Bernstein emerging markets portfolio [EF]	JT	\$1,001 - \$15,000	Capital Gains	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Bernstein Tax-managed international portfolio [EF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$2,501 - \$5,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Biogen Inc. (BIIB) [ST]	JT	\$1,001 - \$15,000	Capital Gains	None	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Boeing Company (BA) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Caladrius Biosciences, Inc. (CLBS) [ST]	JT	\$100,001 - \$250,000	None		
Bernstein Managed Investment account: Ocean Holdings ⇒ Capital One Financial Corporation (COF) [ST]	JT	\$1 - \$1,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Cardinal Health, Inc. (CAH) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ CBS Corporation Class B (CBS) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ CDW Corporation (CDW) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Cerner Corporation (CERN) [ST]	JT	\$1,001 - \$15,000	None		

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Bernstein Managed Investment account: Ocean Holdings ⇒ Cigna Corporation (CI) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Cisco Systems, Inc. (CSCO) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Comcast Corporation - Class A (CMCSA) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ ConAgra Brands, Inc. (CAG) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Costco Wholesale Corporation (COST) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ CVS Health Corporation (CVS) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Delta Air Lines, Inc. (DAL) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Devon Energy Corporation (DVN) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Discover Financial Services (DFS) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Dollar General Corporation (DG) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ DowDuPont Inc. (DWDP) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings	JT	\$1,001 - \$15,000	Capital Gains,	\$201 -	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
⇒ Dr Pepper Snapple Group, Inc Dr Pepper Snapple Group, Inc (DPS) [ST]			Dividends	\$1,000	\$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Eaton Corporation, PLC Ordinary Shares (ETN) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ eBay Inc. (EBAY) [ST]	JT	\$1,001 - \$15,000	None		
Bernstein Managed Investment account: Ocean Holdings ⇒ Edison International (EIX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Edwards Lifesciences Corporation (EW) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ EOG Resources, Inc. (EOG) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Exxon Mobil Corporation (XOM) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Facebook, Inc. - Class A (FB) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Fiserv, Inc. (FISV) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ FNF Group of Fidelity National Financial, Inc. (FNF) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Gilead Sciences, Inc. (GILD) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200

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Goldman Sachs Group, Inc. (GS) [ST]					
Bernstein Managed Investment account: Ocean Holdings ⇒ Helmerich & Payne, Inc. (HP) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Hewlett Packard Enterprise Company (HPE) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Home Depot, Inc. (HD) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Honeywell International Inc. (HON) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Intel Corporation (INTC) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Intuitive Surgical, Inc. (ISRG) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Johnson & Johnson (JNJ) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ JP Morgan Chase & Co. (JPM) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Kimberly-Clark Corporation (KMB) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Kroger Company (KR) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	None
Bernstein Managed Investment account: Ocean Holdings ⇒ L3 Technologies, Inc. (LLL) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200

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Bernstein Managed Investment account: Ocean Holdings ⇒ Magna International, Inc. (MGA) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Marathon Petroleum Corporation (MPC) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ McDonald's Corporation (MCD) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ McKesson Corporation (MCK) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Medtronic plc. Ordinary Shares (MDT) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Microsoft Corporation (MSFT) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Mid-America Apartment Communities, Inc. (MAA) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Nike, Inc. (NKE) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ NiSource Inc (NI) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Norfolk Southern Corporation (NSC) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000

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Northrop Grumman Corporation (NOC) [ST]					
Bernstein Managed Investment account: Ocean Holdings ⇒ OneMain Holdings, Inc. (OMF) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Oracle Corporation (ORCL) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Oshkosh Corporation (OSK) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Pepsico, Inc. (PEP) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Pfizer, Inc. (PFE) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Procter & Gamble Company (PG) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Progressive Corporation (PGR) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Raytheon Company (RTN) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Ross Stores, Inc. (ROST) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ S&P Global Inc. (SPGI) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Schlumberger N.V. (SLB) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	None

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Bernstein Managed Investment account: Ocean Holdings ⇒ Sealed Air Corporation (SEE) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Starbucks Corporation (SBUX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Synchrony Financial (SYF) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ tax aware overlay C portfolio class 1 [EF]	JT	\$100,001 - \$250,000	None		
Bernstein Managed Investment account: Ocean Holdings ⇒ tax-aware overlay A portfolio class 1 [EF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$2,501 - \$5,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Texas Instruments Incorporated (TXN) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ The Priceline Group Inc. (PCLN) [ST]	JT	\$1,001 - \$15,000	Capital Gains	None	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ The Priceline Group Inc. (PCLN) [ST]	JT	\$1,001 - \$15,000	Capital Gains	None	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ TJX Companies, Inc. (TJX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ T-Mobile US, Inc. (TMUS) [ST]	JT	\$1 - \$1,000	Capital Gains	\$201 - \$1,000	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Tyson Foods, Inc. (TSN) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200

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U.S. Bancorp (USB) [ST]					
Bernstein Managed Investment account: Ocean Holdings ⇒ United Technologies Corporation (UTX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Visa Inc. (V) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Bernstein Managed Investment account: Ocean Holdings ⇒ Walmart Inc. (WMT) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Walt Disney Company (DIS) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Wells Fargo & Company (WFC) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Xerox Corporation (XRX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Bernstein Managed Investment account: Ocean Holdings ⇒ Xilinx, Inc. (XLNX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Bernstein Managed Investment account: Ocean Holdings ⇒ Zoetis Inc. Class A (ZTS) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bernstein_Connor trust ⇒ Caladrius Biosciences, Inc. (CLBS) [ST]	DC	\$15,001 - \$50,000	None		
Fidelity UC Retirement savings plan (403b, DCP): Hans ⇒ UC Div INTL FUND [MF]		\$1,001 - \$15,000	Tax-Deferred		

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Fidelity UC Retirement savings plan (403b, DCP): Hans ⇒ UC DIV INTL Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		
Fidelity UC Retirement savings plan (403b, DCP): Hans ⇒ UC Domestic SM CP EQ [MF]		\$1 - \$1,000	Tax-Deferred		
Fidelity UC Retirement savings plan (403b, DCP): Hans ⇒ UC GR CO FUND [MF]		\$1,001 - \$15,000	Tax-Deferred		
Fidelity UC Retirement savings plan (403b, DCP): Hans ⇒ UC Pathway 2030 [MF]		\$15,001 - \$50,000	Tax-Deferred		
Fidelity UC Retirement savings plan (403b, DCP): Hans ⇒ UC Pathway 2030 [MF]		\$100,001 - \$250,000	Tax-Deferred		
Fidelity UC Retirement savings plan (403b, DCP): NCB ⇒ (UCRP) University of California retirement plan_NCB [DB] DESCRIPTION: balance as of 2017	SP	\$15,001 - \$50,000	Tax-Deferred		
Fidelity UC Retirement savings plan (403b, DCP): NCB ⇒ Capital accumulation provision (CAP) [PE]	SP	\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VANDGRD FED RES MMK [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VFIAX VNGRD 500 IDX ADML [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VG RL EST INDX ADML [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VNGRD HLTH CRE INV [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VNGRD INT TM BD ADML [MF]		\$1,001 - \$15,000	Tax-Deferred		

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Hans Aivita 401K ⇒ VNGRD MCP VL IX ADML [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VNGRD SM CP GR ADML [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VNGRD SM CP IX ADML [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VNGRD TR RT 2055 INV [MF]		\$1,001 - \$15,000	Tax-Deferred		
Hans Aivita 401K ⇒ VNGRD TR RT INC INV [MF]		\$1,001 - \$15,000	Tax-Deferred		
HKH Management, LLC ⇒ R22 helicopter [OT] DESCRIPTION: ownership interest in R22 Helicopter		\$250,001 - \$500,000	None		
Investment Account: E-Trade ⇒ Advanced Micro Devices, Inc. (AMD) [ST]	SP	\$50,001 - \$100,000	None		
Investment Account: E-Trade ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$50,001 - \$100,000	None		
Investment Account: E-Trade ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	SP	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000	None
Investment Account: E-Trade ⇒ Apple Inc. (AAPL) [ST]	SP	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: E-Trade ⇒ Asterias Biotherapeutics, Inc. Common Series A (AST) [ST]	SP	\$1,001 - \$15,000	None		
Investment Account: E-Trade ⇒ Athersys, Inc. (ATHX) [ST]	SP	\$15,001 - \$50,000	None		
Investment Account: E-Trade ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]	SP	\$15,001 - \$50,000	None		
Investment Account: E-Trade ⇒ BP p.l.c. (BP) [ST]	SP	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000

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Investment Account: E-Trade ⇒ Caterpillar, Inc. (CAT) [ST]	SP	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000	None
Investment Account: E-Trade ⇒ Celgene Corporation (CELG) [ST]	SP	\$15,001 - \$50,000	None		
Investment Account: E-Trade ⇒ Charter Communications, Inc. - Class A (CHTR) [ST]	SP	\$1,001 - \$15,000	None		
Investment Account: E-Trade ⇒ Citigroup, Inc. (C) [ST]	SP	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000	None
Investment Account: E-Trade ⇒ Comcast Corporation - Class A (CMCSA) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Investment Account: E-Trade ⇒ General Electric Company (GE) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: E-Trade ⇒ Geron Corporation (GERN) [ST]	SP	\$15,001 - \$50,000	None		
Investment Account: E-Trade ⇒ Mastercard Incorporated (MA) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Investment Account: E-Trade ⇒ Oracle Corporation (ORCL) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Investment Account: E-Trade ⇒ Proto Labs, Inc. Common stock (PRLB) [ST]	SP	\$1,001 - \$15,000	None		
Investment Account: E-Trade ⇒ QUALCOMM Incorporated (QCOM) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: E-Trade ⇒ Revance Therapeutics, Inc. (RVNC) [ST]	SP	\$1,001 - \$15,000	Capital Gains	\$5,001 - \$15,000	None
Investment Account: E-Trade ⇒ Rite Aid Corporation (RAD) [ST]	SP	\$1,001 - \$15,000	None		
Investment Account: E-Trade ⇒ Seagate Technology PLC - Ordinary Shares (STX) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Investment Account: E-Trade ⇒ Seagate Technology PLC - Ordinary Shares (STX) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Investment Account: E-Trade ⇒ Skyworks Solutions, Inc. (SWKS) [ST]	SP	\$1,001 - \$15,000	None		
Investment Account: E-Trade ⇒ Target Corporation (TGT) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Investment Account: E-Trade ⇒ Tesla, Inc. (TSLA) [ST]	SP	\$1,001 - \$15,000	None		
Investment Account: E-Trade ⇒ Time Warner Inc. New (TWX) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Investment Account: E-Trade ⇒ Visa Inc. (V) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Investment Account: E-Trade ⇒ Walmart Inc. (WMT) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Investment Account: Putnam ⇒ Putnam equity income Fund-A [MF]	SP	\$50,001 - \$100,000	None		
Investment Account: RBC ⇒ American Electric Power Company, Inc. (AEP) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: RBC ⇒ Apple Inc. (AAPL) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Investment Account: RBC ⇒ AT&T Inc. (T) [ST]	SP	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Investment Account: RBC ⇒ Boeing Company (BA) [ST]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Investment Account: RBC ⇒ California Resources Corporation (CRC) [ST]	SP	\$1 - \$1,000	None		
Investment Account: RBC ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: RBC ⇒ CUSIP 142579EK3 (Carlsbad California Improvement Bond Act 1915 Escrow Assessment District Number 96 [CS])	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: municipal bond, tax exempt					
Investment Account: RBC ⇒ CUSIP 169511MK5 (Chino California Community Facilities District Number 2006 3) [CS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: CA municipal bond, tax exempt					
Investment Account: RBC ⇒ CUSIP 95942TEE3 (Western Riverside Water And Refunding Local Agency Series A 1) [GS]	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: RBC ⇒ Exxon Mobil Corporation (XOM) [ST]	SP	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Investment Account: RBC ⇒ Intel Corporation (INTC) [ST]	SP	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Investment Account: RBC ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: RBC ⇒ Merck & Company, Inc. Common Stock (MRK) [ST]	SP	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Investment Account: RBC ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Investment Account: RBC ⇒ Novartis AG (NVS) [ST]	SP	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Investment Account: RBC ⇒ Occidental Petroleum Corporation (OXY) [ST]	SP	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Investment Account: RBC ⇒ Pfizer, Inc. (PFE) [ST]	SP	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Investment Account: RBC ⇒ Rite Aid Corporation (RAD) [ST]	SP	\$1,001 - \$15,000	None		
Investment Account: RBC ⇒ Syngenta AG (SYT) [ST]	SP	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000	None
Investment Account: Stifel_Connor ⇒ CUSIP 03255LBP3 - Anaheim CA Pub Fing Auth LSE rev Pub Impt Sub Ser C agm B/E [GS]	DC	\$15,001 - \$50,000	OID	\$1,001 - \$2,500	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Investment Account: Stifel_Connor ⇒ CUSIP 13033LB22 - CA Hlth Facs Fing Auth Rev Childrens Hospital LA A B/E [GS]	DC	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_Connor ⇒ CUSIP 658620CK3 (North City West California School Facilities Financing Authority Special Tax Capita [GS]	DC	\$50,001 - \$100,000	OID	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_Connor ⇒ CUSIP 768569BZ7 (Riverbank California Unified School District Capital Appreciation Election 2005 A) [GS]	DC	\$15,001 - \$50,000	Interest	None	None
Investment Account: Stifel_Connor ⇒ CUSIP 80218MEV9 (Santa Fe Springs California Community Development Commission Tax Allocation Capital [GS]	DC	\$15,001 - \$50,000	OID	\$1,001 - \$2,500	\$201 - \$1,000
Investment Account: Stifel_Connor ⇒ CUSIP 870462SZ2 (Sweetwater California Union High School Election 2006 Series B) [GS]	DC	\$1,001 - \$15,000	Interest	\$1 - \$200	None
Investment Account: Stifel_Connor ⇒ CUSIP 870475AX8 (Sweetwater California Union High School District Public Financing Authority Special [GS]	DC	\$1,001 - \$15,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_Connor ⇒ CUSIP 870475AX8 (Sweetwater California Union High School District Public Financing Authority Special [GS]	DC	\$1,001 - \$15,000	Interest, bond redemption	\$1,001 - \$2,500	\$201 - \$1,000
Investment Account: Stifel_Connor ⇒ CUSIP 870475AX8 (Sweetwater California Union High School District Public Financing Authority Special [GS]	DC	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_Connor ⇒ CUSIP 90171TBL3 (Twin Rivers Unified School District California Unrefunded Balance Capital) [GS]	DC	\$15,001 - \$50,000	OID	\$201 - \$1,000	None
Investment Account: Stifel_NCB ⇒ CUSIP 00037CML1 (CHILDREN'S HOSPITAL & RESEARCH CENTER AT OAKLAND) [GS]	SP	\$15,001 - \$50,000	Interest, bond redemption	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 0037CMK3 (ABAG CA HOSP 5.25 120127 CORPS CA REV RFDG CHILD HOSP & RESH A B/E PTC CPN) [GS]	SP	\$15,001 - \$50,000	Interest, bond redemption	\$2,501 - \$5,000	\$2,501 - \$5,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Investment Account: Stifel_NCB ⇒ CUSIP 03255LDT3 (Anaheim California Public Financing Authority Lease Revenue Refunding Senior Public [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 03255LDV8 (Anaheim California Public Financing Authority Lease Revenue Refunding Senior Public [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 03255LDW6 (Anaheim California Public Financing Authority Lease Revenue Refunding Senior Public [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 03255LEGo (Anaheim California Public Financing Authority Lease Revenue Refunding Senior Anahei [GS])	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 03255MLQ8 (Anaheim California Redevelopment Agency Tax Allocation Refunding Merged Redevelo [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	None
Investment Account: Stifel_NCB ⇒ CUSIP 03255MLQ8 (Anaheim California Redevelopment Agency Tax Allocation Refunding Merged Redevelo [GS])	SP	\$15,001 - \$50,000	Capital Gains, bond redemption	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 032565DWO (Anaheim California Redevelopment Agency Tax Allocation Refunding Merged Redevelo [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 032565EC3 (Anaheim California Redevelopment Agency Tax Allocation Refunding Housing Series C) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 072024VL3 (Bay Area Toll authority, CA) [GS]	SP	\$15,001 - \$50,000	Interest	\$1 - \$200	\$1 - \$200
Investment Account: Stifel_NCB ⇒ CUSIP 088006ES6 (Beverly Hills California Public Financing Refunding Capital Improvement Project) [GS]	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 088006HH7 (Beverly Hills California Public Financing Refunding 2007 Refunding Project Series A [GS])	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Investment Account: Stifel_NCB ⇒ CUSIP 10727XTR9 (Brentwood California Infrastructure Refunding Series A) [GS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 13032UKC1 (California Health Facilities Financing Refunding Cedars Sinai Medical Center Series [GS])	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 13033L3F2 (California Health Facilities Financing Lucille Salter Packard) [GS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 13033LB22 (California Health Facilities Financing Childrens Hospital Los Angeles) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13033LEFo (California Health Facilities Financing Cedars Sinai Medical Center) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13033LGS0 (California Health Facilities Financing Childrens Hospital Los Angeles) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13033LM79 (California Health Facilities Financing City Of Hope Series A) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13033LUU9 (California Health Facilities Financing Rady Childrens Hospital) [GS]	SP	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000	\$2,501 - \$5,000
Investment Account: Stifel_NCB ⇒ CUSIP 13063CN89 (California St Veterans Series Cn) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13063CWT3 (California St Veterans Series Ck) [GS]	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13077C4G6 (California St University Revenue Systemwide Series A) [GS]	SP	\$15,001 - \$50,000	Interest	None	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Investment Account: Stifel_NCB ⇒ CUSIP 13078REQ9 (California Statewide Cmnty Development Authority Student Housing Revenue Chf Irvin [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13078REUo (California Statewide Cmnty University California Irvine East) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 13078RGD6 (California Statewide Cmnty Refunding University California Irvine East) [GS]	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 1307955E3 (California Statewide Cmnty Kaiser Permanente Series A) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 219766LB6 (Corona Norco California Unified School Refunding Community Facilities District Numb [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 221498CCo (Costa Mesa California Certificates Participation Police Facility Expansion Project) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 221498CCo (Costa Mesa California Certificates Participation Police Facility Expansion Project) [GS]	SP	\$15,001 - \$50,000	Interest, bond redemption	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 283113FB9 (El Dorado County California Special Tax Community Facilities District Number 2001 1 [GS])	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 287290MA5 (Elk Grove California Unified School District Refunding Community Facilities Distric [GS])	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 503423ED3 (La Habra California Certificates Participation Refunding Series A) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 50963JFV5 (Lake Elsinore California Public Financing Refunding Series C) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Investment Account: Stifel_NCB ⇒ CUSIP 544495N34 (os Angeles California Department Water And Power System Series A) [GS]	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 626905NE9 (Murrieta Valley California Unified School District Election 2014) [GS]	SP	\$15,001 - \$50,000	Interest	None	None
Investment Account: Stifel_NCB ⇒ CUSIP 652113YGo (Newport Mesa California Unified School Election 2005) [GS]	SP	\$15,001 - \$50,000	Interest	None	None
Investment Account: Stifel_NCB ⇒ CUSIP 672325WJ2 (Oakland California Unified School District Refunding Agm Credit) [GS]	SP	\$15,001 - \$50,000	Interest, bond redemption	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 672325WJ2 (Oakland California Unified School District Refunding Agm Credit) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 684105GJ2 (Orange California Redevelopment Agency Tax Allocation Revenue Redevelopment Project [GS]	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 696617PZ6 (Palm Desert California Financing Authority Tax Alloc Revenue Refunding Project Area [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 696617PZ6 (Palm Desert California Financing Authority Tax Alloc Revenue Refunding Project Area [GS]	SP	\$15,001 - \$50,000	Interest, bond redemption	\$2,501 - \$5,000	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 696617UY3 (Palm Desert California Financing Authority Tax Alloc Revenue Refunding Pj Area Numb [GS]	SP	\$15,001 - \$50,000	Interest, bond redemption	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 72601TAMo (Placer County California Redevelopment Agency Refunding Series A) [GS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 75213RAH8 (Rancho Santa Fe California Csd Financing Superior Lien Series A) [GS]	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Investment Account: Stifel_NCB ⇒ CUSIP 76913AAX1 (Riverside County California Redevelopment Agency Refunding Desert Cmnty Redevelopm [GS])	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 797415JZ0 (San Diego County California Water Authority Water Revenue Certificates Participatio [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 79742YAP7 (San Diego County California Limited Revenue Sanford Burnham Prebys Medical) [GS])	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 798147UX3 (SAN JOSE CA 4.44 080117 TAX ALLOC RFDG MERGED AREA PROJ A REV NPPG B/E CPN) [GS])	SP	\$15,001 - \$50,000	Interest, bond redemption	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 802498MY8 (Santa Monica Malibu Unified School Election 2012 Series A) [GS])	SP	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000	\$2,501 - \$5,000
Investment Account: Stifel_NCB ⇒ CUSIP 837680AB3 9South El Monte California Improvement District Refunding Merged Project Area Series [GS])	SP	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 870462SX7 (Sweetwater California Union High School Election 2006 Series B) [GS])	SP	\$50,001 - \$100,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Investment Account: Stifel_NCB ⇒ CUSIP 870475AX8 (Sweetwater California Union High School District Public Financing Authority Special [GS])	SP	\$15,001 - \$50,000	Interest, bond redemption	\$1,001 - \$2,500	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 87970FDD8 (Temecula California Redevelopment Agency Tax Allocation Revenue Redevelopment Proje [GS])	SP	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000	\$1,001 - \$2,500
Investment Account: Stifel_NCB ⇒ CUSIP 87972RAY7 (Temecula California Public Financing Authority Community Facilities District Number [GS])	SP	\$15,001 - \$50,000	Interest, bond redemption	\$201 - \$1,000	\$1,001 - \$2,500
Real Estate ⇒ Atelier [RP])	JT	\$500,001 - \$1,000,000	Rent	\$2,501 - \$5,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
LOCATION: Vancouver, CA					
UCI pension_Hans ⇒ (UCRP) University of California retirement plan_Hans [DB]		\$15,001 - \$50,000	Tax-Deferred		
UCI pension_Hans ⇒ Capital accumulation provision (CAP) [PE]		\$15,001 - \$50,000	Tax-Deferred		
UCI pension_NCB ⇒ UC Domestic SM CP EQ [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
UCI pension_NCB ⇒ UC Pathway 2030 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
UCI pension_NCB ⇒ UC PATHway 2030 [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
UCI pension_NCB ⇒ UC Pathway 2035 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
UCI pension_NCB ⇒ UC PATHWAY 2035 [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		
UCI pension_NCB ⇒ UC Pathway 2045 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
UCI pension_NCB ⇒ UC Pathway 2055 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
UCI pension_NCB ⇒ UC PATHway 2060 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
AIVITA Biomedical	Salary	\$280,000.00	\$280,000.00
University of California at Irvine	Spouse salary	\$35,000.00	\$40,000.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Bank of Montreal	June, 2010	Mortgage on rental property in Vancouver	\$100,001 - \$250,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Chief Executive Officer	AIVITA Biomedical Inc.
President and Chief Science Officer	Caladrius Biomedical, Inc.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
May 2015	Hans Keirstead and UC Regents (UC Irvine)	continued participation in the UC Retirement Plan, after leaving employment at UC Irvine in May 2015

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- o Bernstein Managed Investment account: Ocean Holdings (Owner: JT)
LOCATION: US
- o Bernstein_Connor trust (Owner: DC)
- o Fidelity UC Retirement savings plan (403b, DCP): Hans
- o Fidelity UC Retirement savings plan (403b, DCP): NCB (Owner: SP)
- o Hans Aivita 401K
- o HKH Management, LLC
LOCATION: US
- o Investment Account: E-Trade (Owner: SP)
LOCATION: US
- o Investment Account: Putnam (Owner: SP)
LOCATION: US
- o Investment Account: RBC (Owner: SP)
LOCATION: US
- o Investment Account: Stifel_Connor (Owner: DC)
LOCATION: US
- o Investment Account: Stifel_NCB (Owner: SP)

LOCATION: US

- o Real Estate (Owner: JT)

LOCATION: US

- o UCI pension_Hans
- o UCI pension_NCB (Owner: SP)

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hans Keirstead , 05/3/2018