

## Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Iancu, Andrei**

Under Secretary of Commerce for Intellectual Property and Director of USPTO, Department of Commerce

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on the Judiciary**
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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Iancu, Andrei [electronically signed on 05/16/2017 by Iancu, Andrei in Integrity.gov]**

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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 below).

**/s/ Maggi, David, Certifying Official [electronically signed on 09/08/2017 by Maggi, David in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 09/11/2017 by Apol, David in Integrity.gov]**

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Irell & Manella LLP	See Endnote	Los Angeles, California	Law Firm	Managing Partner	3/2012	Present
2	University of California, Los Angeles	See Endnote	Los Angeles, California	University/College	Lecturer in Law	8/2011	Present
3	Family Revocable Trust #1		Los Angeles, California	Trust	Trustee	12/2012	Present

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	University of California, Los Angeles	N/A		Salary	\$3,274
2	Irell & Manella LLP (law firm)	N/A		Partnership Share	\$4,733,748
3	Irell & Manella LLP (law firm) anticipated partnership share	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4	Irell & Manella LLP capital account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5	Irell & Manella LLP, contingency fee cases (value not readily ascertainable)	N/A			None (or less than \$201)
6	Irell & Manella LLP Profit Sharing Plan (retirement)	No			
6.1	Vanguard High-Yield Corp Adm	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.2	Templeton Global Bond Adv	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
6.3	Oppenheimer Developing Mkts I	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.4	Dreyfus Natural Resources I		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
6.5	Fidelity Adv Small Cap Value		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
6.6	Harbor International Inst		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.7	American Fds Fundamental R6		Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
6.8	Fidelity Contrafund		Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
6.9	Vanguard Mid-Cap Index Adm		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
6.10	Vanguard Inflt Prot Adm		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7	Roth IRA		No			
7.1	Vanguard Inter-Term Bond Index Adm		Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.2	Vanguard Total Stock Ix Adm		Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.3	Vanguard Dividend Growth		Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	IRA		No			
8.1	Vanguard 500 Index Fund Adm		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9	Irell & Manella LLP, cash balance pension plan		N/A	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$5,001 - \$15,000
10	Loton SPA (film finance)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	NantKwest (Immunotherapy)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	PEQ Media, LLC (social messaging)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	Space Exploration (spacecraft)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Irell & Manella LLP	Los Angeles, California	Pursuant to agreement with my partners, following my withdrawal from the firm, I will receive my final partnership share distribution in one payment before the end of the year. The total amount of the payment will be calculated as of the date of my withdrawal.	7/2017
2	Irell & Manella LLP	Los Angeles, California	Pursuant to the firm's partnership agreement, my capital account will be returned within twelve months after my departure date. The amount to be returned will be fixed as of the date of my departure.	1/2004
3	Irell & Manella LLP	Los Angeles, California	Upon my withdrawal from the partnership, I will renounce my interest in any contingency fee cases that I may currently have.	7/2017
4	Irell & Manella LLP	Los Angeles, California	I may continue to participate in the firm's defined contribution retirement plan. The plan sponsor will not make further contributions after my separation. Alternatively, I may roll the funds over into another retirement plan.	1/2004
5	Irell & Manella LLP	Los Angeles, California	Before assuming the duties of Under Secretary for Intellectual Property, I will roll my funds out of the firm's Cash Balance Pension Plan and into another retirement plan.	12/2013
6	Irell & Manells LLP	Los Angeles, California	Before assuming the position of Under Secretary for Intellectual Property, I will assign my share in any recoveries from the sale of stock that the Firm received in lieu of fees during my time as partner. Such shares are owned by Irell & Manella, and they can be sold only at the firm's discretion. If and when they are sold (even after I leave the firm), I would be entitled to a share of the proceeds based on my ownership percentage at the time the shares were originally acquired by the firm.	7/2017

#### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Irell & Manella LLP		Los Angeles, California	I am a lawyer providing legal services to clients of the firm. I am also the firm's Managing Partner.
2	10X Genomics, Inc.		Pleasanton, California	Legal services for firm client.
3	Ariosa Diagnostics, Inc.	See Endnote	San Jose, California	Legal services for firm client.
4	B/E Aerospace, Inc.	See Endnote	Wellington, Florida	Legal services for firm client.
5	ebay Inc.		San Jose, California	Legal services for firm client.
6	Juno Therapeutics, inc.		Seattle, Washington	Legal services for firm client.
7	Memorial Sloan Kettering		New York, New York	Legal services for firm client.
8	PayPal, Inc.		San Jose, California	Legal services for firm client.
9	Skyworks Solutions, Inc.		Woburn, Massachusetts	Legal services for firm client.
10	St. Jude Medical	See Endnote	St. Paul, Minnesota	Legal services for firm client.
11	Synaptics Inc.		San Jose, California	Legal services for firm client.
12	TiVo	See Endnote	San Jose, California	Legal services for firm client.
13	ZOLL Medical		Chelmsford, Massachusetts	Legal services for firm client.
14	Sienna Labs Inc.		Carlsbad, California	Legal services for firm client.

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
15	Thomson Licensing	See Endnote	Paris, Outside U.S.	Legal services for firm client.
16	Rigel Pharmaceuticals, Inc.		San Francisco, California	Legal services for firm client.
17	Continuance LLC		Los Angeles, California	Legal services for firm client.

## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Southern California Permanente Medical Group (medical group)	N/A		bonus, partnership share (compensation)	
1.1	SCPMG - capital contribution	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	SCPMG Keogh Plan	No			
2.1	Vanguard Capital Opportunity Adm	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.2	Robeco Boston Partners Small Mid-Cap	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	American Funds Capital World Gr&Inc	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.4	Columbia Acorn Int'l Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Dodge & Cox Int'l Stock	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.6	Vanguard Wellington Adm	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.7	Standish Mellon Fixed Income Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.8	BTC US Equity Market Index	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	SCPMG 401(k) Plan	No			
3.1	Vanguard Primecap Adm	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.2	Vanguard Value Index I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.3	Hotchkis Wiley Mid-Cap Value	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.4	Vanguard Small Cap Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.5	American Funds Capital World Gr&Inc	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.6	T. Rowe Price Int'l Discovery	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.7	Vanguard Int'l Growth Adm	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	Vanguard Wellington Adm	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.9	Vanguard Total Bond Market Idx Inst	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.10	Vanguard Inst'l Ttl Stk Mkt Idx	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Kaiser Permanente Health Plan, defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
2	U.S. bank account #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. bank account #3 (cash)	N/A	\$5,000,001 - \$25,000,000	Interest	\$5,001 - \$15,000
4	Vanguard California Muni Money Mkt	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	Vanguard Emerging Mkts Stk Idx	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Vanguard High-Yield Tax-Exempt	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
7	Vanguard Selected Value	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	Vanguard Short-Term Investment-Grade	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9	Vanguard Wellington	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10	Vanguard 500 Index Adm	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	Vanguard LifeStrategy Moderate Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Franklin Mutual Quest Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
13	U.S. bank account #4 (cash)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
14	U.S. bank account #5 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
15	Juno Therapeutics	N/A	\$250,001 - \$500,000		None (or less than \$201)
16	Nacuity Pharmaceuticals, Inc. (ophthalmology)	N/A	\$50,001 - \$100,000		None (or less than \$201)
17	R.W. Selby & Company, Inc.	No			



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.1	433 Midvale LLC (residential apartment building in Los Angeles, CA)	N/A	\$15,001 - \$50,000	Rent or Royalties	\$1,001 - \$2,500
18	Charles Schwab Managed Account	No			
18.1	Lion Biotechnologies	N/A	\$100,001 - \$250,000		None (or less than \$201)
18.2	Dodge & Cox International Stock	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18.3	Dodge & Cox Stock	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
18.4	Fidelity Small Cap Discovery	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.5	FMI International	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
18.6	FMI Large Cap	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
18.7	FPA Crescent	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.8	Legg Mason ClearBridge Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.9	Litman Gregory Masters Alternative Strategies	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
18.10	PRIMECAP Odyssey Growth	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.11	PRIMECAP Odyssey Stock	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.12	Vanguard California Intermediate-Term Tax Exempt	Yes	\$100,001 - \$250,000		\$201 - \$1,000
18.13	Vanguard Dividend Growth	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.14	Vanguard Equity Income	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.15	Vanguard High Yield Tax Exempt	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18.16	Vanguard Mid Cap Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.17	Schwab Municipal Money Fund (cash)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.18	American High Income Municipal Bond Fund (SOLD)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
18.19	Homestead Small Company (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
18.20	T. Rowe Price Institutional International (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
18.21	Thornburg CA Ltd Term Municipal Bond (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
18.22	Thornburg Ltd. Term Muncipal Bond (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
18.23	Vanguard Ltd. Term Tax-Exempt (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
18.24	American Funds Tax Exempt Fund of California	Yes	\$100,001 - \$250,000		\$201 - \$1,000
19	Citi US Fixed Income Portfolio	No			
19.1	Pennsylvania St Higher Ed Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
19.2	Chicago Ill RFDG-PROJS-SER A Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
19.3	Clark Cnty Nev Sch Dist Ser A Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19.4	Chester Cnty Pa Health & Ed Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
19.5	Los Angeles CA Mun Impt Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.6	Miami-Dade Cnty Fla Sch Brd Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19.7	New Jersey Economic Dev Auth Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19.8	New Jersey St Transn TR FD Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19.9	Newark NJ HSG Auth Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
19.10	New Jersey Econ Dev Auth Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
19.11	Pennsylvania St Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
19.12	San Jose Calif Redev Agy Tax Bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
19.13	Hillsborough Cnty Fla Sch Brd Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
19.14	Hollister Calif Jt Pwrs Fin Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
19.15	Houston Tex Bond	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
19.16	Illinois St Bond	N/A	\$15,001 - \$50,000		None (or less than \$201)
19.17	Jacksonville Fla Spl Rev Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
19.18	Oxnard Calif Sch Dist GO B Bond	N/A	\$50,001 - \$100,000		None (or less than \$201)
19.19	Pennsylvania St Second Ser Bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
19.20	Palm Beach Cnty Fla Sch Brd Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
19.21	San Jose Calif Redev Agy Bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.22	San Diego Calif Pub Facs Fi Bond	N/A	\$50,001 - \$100,000		None (or less than \$201)
19.23	Western Asset Inst Govt-Inst Government Reserves (cash)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
19.24	ILLINOIS ST - BOND - SOLD	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
19.25	DETROIT MICH WTR SUPPLY SYS - BOND - SOLD	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
19.26	SCH DIST OF PHILADEL - BOND - SOLD	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
19.27	CLARK CNTY NEV SCH DIST SER B - BOND - SOLD	N/A	None (or less than \$1,001)	Interest Capital Gains	\$1,001 - \$2,500
19.28	IRVINE CA IMPT BOND - SOLD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
19.29	NEW YORK ST DORM AUTH ST PERS - BOND - SOLD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
19.30	MIAMI FLA SPL OBLIG RFDG-SER A - BOND - SOLD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
19.31	CLARK CNTY NEV HWY IMPT REV - BOND - SOLD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
19.32	Livonia Mich Pub Schs Sch D - BOND - SOLD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
19.33	CLARK CNTY NEV HWY IMPT REV - BOND - SOLD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
20	Utah Educational Savings Plan (529 Plan)	No			
20.1	Vanguard Short-Term Invest-Grade	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20.2	Vanguard Short-Term Bond Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
20.3	FDIC-Insured Accounts	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.4	Vanguard Total Bond Market Index	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
20.5	Vanguard Total Stock Market Index	See Endnote	Yes	None (or less than \$1,001)		\$201 - \$1,000
21	Grid Partners III, L.P.		No			
21.1	Ingenu Inc. (fka Onramp Wireless Inc.)		N/A	\$50,001 - \$100,000		None (or less than \$201)
22	Mass Mutual Whole Life		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
23	Northwestern Mutual Adjustable CompLife (Whole Life)		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
24	Kayne Anderson Energy Fund VII		Yes	\$100,001 - \$250,000		None (or less than \$201)
25	Kayne Partners Fund II		Yes	\$100,001 - \$250,000		None (or less than \$201)
26	Kayne Partners Fund IV		Yes	\$15,001 - \$50,000		None (or less than \$201)
27	Kayne Anderson Real Estate Partners III		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
28	Kayne Anderson Infrastructure Income Fund		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
29	Morgan Stanley		No			
29.1	SPX		N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
29.2	ABBVIE INC COM		N/A	\$1,001 - \$15,000		None (or less than \$201)
29.3	ACI WORLDWIDE INC		N/A	\$1,001 - \$15,000		None (or less than \$201)
29.4	ACCENTURE PLC IRELAND CL A		N/A	\$1,001 - \$15,000		None (or less than \$201)
29.5	ADOBE SYSTEMS		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.6	AUTODESK INC DELAWARE	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.7	AKAMAI TECHNOLOGIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.8	ALEXION PHARM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.9	AMN HEALTHCARE SVCS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.10	AMAZON COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.11	AMERICAN EXPRESS CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.12	BIOGEN INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.13	ANHEUSER BUSCH INBEV SA SPON	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.14	CELGENE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.15	Colgate-Palmolive Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.16	CHIPOTLE MEXICAN GRILL INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.17	Citrix Systems Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.18	Chevron Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.19	WALT DISNEY CO HLDG CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.20	DISCOVERY COMMUNICATIONS SER A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.21	eBay Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.22	ENTEGRIS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.23	FACEBOOK INC CL-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.24	FCB FINL HLDGS INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.25	FREPORT-MCMORAN INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.26	FORUM ENERGY TECHNOLOGIES	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.27	FOX FACTORY HOLDING CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.28	FORTINET INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.29	ALPHABET INC CL C	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.30	ALPHABET INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.31	ICU MEDICAL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.32	INC RESH HLDGS INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.33	IONIS PHARMACEUTICALS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.34	INTERPUBLIC GROUP OF COS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.35	LOWES COMPANIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.36	MARSH & MCLENNAN COS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.37	MATADOR RES CO	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.38	MACOM TECHNOLOGY SOLU HLDS	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.39	MURPHY USA INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.40	INGEVITY CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.41	NETSCOUT SYSTEMS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.42	NETGEAR INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.43	NUANCE COMMUNICATIONS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.44	NUCOR CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.45	PALO ALTO NETWORKS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.46	PAYPAL HLDGS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.47	LIBERTY INTERACTIVE CORP QVC A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.48	REGENERON PHARM	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.49	RED HAT INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.50	ROGERS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.51	SELECTIVE INSURANCE GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.52	SCRIPPS E.W. COMPANY CL A NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.53	TWITTER INC	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.54	VMWARE INC CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.55	VERTEX PHARMACEUTICALS	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.56	WEATHERFORD INTERNATIONAL	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.57	YUM CHINA HLDNGS	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.58	ZOETIS INC CLASS-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.59	ALTRA HLDGS INC (AIMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.60	AMG YACKTMAN FOCUSED N (YAFFX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
29.61	ANADARKO PETE (APC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.62	Apple Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.63	AT&T INC (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.64	BANCORPSOUTH INC (BXS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.65	BECTON DICKINSON & CO (BDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.66	Circor International INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.67	BLACKROCK INC (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.68	BROADCOM LTD SHS (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.69	BRUNSWICK CORP (BC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.70	CHARLES SCHWAB NEW (SCHW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.71	Chevron Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.72	CHUBB LTD (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.73	Coca-Cola Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.74	COLUMBIA SPORTSWEAR CO (COLM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.75	COMCAST CORP (NEW) CLASS A (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.76	CVB FINCL CP (CVBF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.77	CVS HEALTH CORP COM (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.78	DENTSPLY SIRONA INC (XRAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.79	DISCOVER FINCL SVCS (DFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.80	DOLBY CLA A COM STK (DLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.81	ECOLAB INC (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.82	EMCOR GROUP INC (EME)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.83	ESCO TECHNOLOGIES (ESE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.84	FIDELITY NATL INFORMATION SE (FIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.85	FINISH LINE INC CL A (FINL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.86	FIRST TR MLD CP COR ALPHDX ETF (FNX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
29.87	FLUOR CORP NEW (FLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.88	FULLER H B & COMPANY (FUL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.89	GENERAL MTRS CO (GM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.90	HARDING LOEVNER EMERG MKTS ADV (HLEMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
29.91	HARTFORD INTL VALUE I (HILIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
29.92	Home Depot Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.93	HONEYWELL INTERNATIONAL INC (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.94	HORACE MANN EDUCATORS CP (HMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.95	IBERIA BK CORP (IBKC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.96	INDEPENDENT BK MASS (INDB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.97	INGERSOLL-RAND PLC SHS (IR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.98	ISHARES RUSSELL 1000 ETF (IWB)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
29.99	J&J SNACK FOODS (JJSF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.100	JOHNSON & JOHNSON (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.101	JOHNSON CTLS INTL PLC (JCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.102	JPMORGAN CHASE & CO (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.103	KNOLL INC (KNL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.104	L3 TECHNOLOGIES INC COM (LLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.105	LA Z BOY INCORPORATED (LZB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.106	LITHIA MOTORS INC A (LAD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.107	LITTELFUSE INC (LFUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.108	LOCKHEED MARTIN CORP (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.109	M K S INSTRUMENTS (MKSI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.110	MEDTRONIC PLC SHS (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.111	METHODE ELEC INC (MEI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.112	MGE ENERGY INC (MGEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.113	Microsoft Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.114	MINERALS TECHNOLOGY INC (MTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.115	MONDELEZ INTL INC COM (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.116	MONSANTO CO/NEW (MON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.117	MSA SAFETY INC (MSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.118	MUELLER WATER PROD INC SER A (MWA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.119	NASDAQ INC COM (NDAQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.120	National Oilwell Varco Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.121	NextEra Energy Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.122	NIELSEN HLDGS PLC (NLSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.123	NOVO NORDISK A/S ADR (NVO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.124	ONE GAS INC (OGS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.125	P H GLATFELTER (GLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.126	PACKAGING CORP AMER (PKG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.127	PENTAIR PLC (PNR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.128	PEPSICO INC NC (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.129	PFIZER INC (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.130	PHILLIPS 66 COM (PSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.131	PIONEER NATURAL RESOURCES CO (PXD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.132	PORTLAND GENERAL ELEC CO (POR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.133	Praxair Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.134	QUANEX BUILDING PRODUCTS CORP (NX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.135	ROCKWELL COLLINS INC (COL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.136	Schlumberger Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.137	SEAGATE TECHNOLOGY PLC (STX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.138	SPDR S&P DIVIDEND (SDY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
29.139	STANDEX INTERNATIONAL CORP (SXI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.140	TE CONNECTIVITY LTD NEW (TEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.141	TEXAS INSTRUMENTS (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.142	Thermo Fisher Scientific	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.143	THORNBURG INTL GROWTH I (TINGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
29.144	TWENTY-FIRST CENTURY FOX CL A (FOXA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.145	Union Pacific Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.146	UNITED PARCEL SER INC CL-B (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.147	UNITEDHEALTH GP INC (UNH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
29.148	US ECOLOGY INC NEW (ECOL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.149	V F CORPORATION (VFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.150	VISA INC CL A (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.151	W W GRAINGER INC (GWW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.152	WEC ENERGY GROUP INC COM (WEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.153	WELLS FARGO & CO NEW (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.154	WESTERN DIGITAL CORPORATION (WDC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.155	WHIRLPOOL CORP (WHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.156	WOLVERINE WORLD WIDE (WWW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.157	Xilinx Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.158	AB MUNICIPAL INCOME (MISHX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
29.159	HARTFORD FLOATING RT HI INC I (HFHIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
29.160	CALIFORNIA ST GENL OBLIG TAX EXEMPT VAR PURP GENL OBLIG REF	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.161	CALIFORNIA ST GENL OBLIG VARIOUS PURP REF	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
29.162	CALIFORNIA ST DEPT OF WTR RES PWR SUPPLY REV SER	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
29.163	CALIFORNIA ST DEPT WTR RES CENTRAL VALLEY PROJ SYS REV-AW	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.164	CALIFORNIA ST UNIV TRUSTEES SYSWIDE REV-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.165	LONG BEACH CALIF UNI SCH DIST SER-A	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.166	LOS ANGELES COMMUNITY COLLEGE DIST REF-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.167	LOS ANGELES CALIF UNI SCH DIST	N/A	\$15,001 - \$50,000		None (or less than \$201)
29.168	SOUTHERN CALIFORNIA PUB PWR AUTH TRANMSN PROJ REV REF-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.169	UNITED STATES TREASURY NOTE	N/A	\$15,001 - \$50,000		None (or less than \$201)
29.170	UNIVERSITY OF CALIFORNIA REGENTS GENERAL REVENUE SER-AK	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.171	EASTGROUP PROPERTIES INC (EGP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.172	EXTRA SPACE STORAGE INC (EXR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.173	PEBBLEBROOK HOTEL TR COM (PEB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.174	PHYSICIANS REALTY TRUST (DOC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.175	QTS RLTY TR INC COM CL A (QTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29.176	Morgan Stanley BDP (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
29.177	BLACKROCK GLOBAL DIV PORT INST (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.178	CLEARBRIDGE AGGRESSIVE GWTH I (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.179	COLUMBIA DIVIDEND INC Z (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.180	COLUMBIA SELECT LG CP GROWTH Z (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.181	DEUTSCHE X-TRACKERS MSCI EAF (SOLD)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.182	FEDERATED INTL STRAT DIV IS (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.183	GOLDMAN SACHS RISING DIV GW I (GSRLX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.184	HARTFORD EQUITY INC I (HQIIX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.185	JPMORGAN EQUITY INCOME I (HLIEX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.186	MFS VALUE I (MEIIX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.187	NEUBERGER BERMAN EQ INC INS (NBHIX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.188	NEUBERGER INTRINSIC VALUE INST (NINLX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.189	NUVEEN SANTA BARBARA DIV GR I (NSBRX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.190	SALIENT INTL DVDND SIGNAL ADV (FIDMX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.191	THORNBURG INTL VALUE I (TGVIX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.192	AB MUNI INCOME CA ADV (ALCVX) (SOLD)	Yes	None (or less than \$1,001)		None (or less than \$201)
29.193	AMER CENT CA HI YLD MUNI INV (BCHYX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.194	AMG GW&K MUNICIPAL BD S (GWMSX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.195	BLACKROCK CA MUNI OPP I (MACMX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.196	BLACKROCK NATIONAL MUNI I (MANLX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.197	CALIFORNIA ST BE 5000 19MY01 (SOLD)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.198	INVESCO HIGH YIELD MUNI Y (ACTDX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.199	JP MORGAN CA TAX FREE BOND A (JCBAX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.200	MFS MUNI HIGH INCOME I (MMIIX) (SOLD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.201	NATIONWIDE HM CA ITM TAX FR BD (NWJNX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.202	NUVEEN CA MUNI BOND I (NCSPX) (SOLD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
29.203	NUVEEN SH DUR HI YLD MUN BD I (NVHIX) (SOLD)	Yes	None (or less than \$1,001)		None (or less than \$201)
29.204	NUVEEN HI YLD MUNI BOND I (NHMRX) (SOLD)	Yes	None (or less than \$1,001)		None (or less than \$201)
29.205	PRUDENTIAL MUNI HI INC Z (PHIZX) (SOLD)	Yes	None (or less than \$1,001)		None (or less than \$201)
29.206	STATE OF CALIF BE 5000 22SP01 (SOLD)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
29.207	San Francisco Calif Bay Area Rapid Tran Green	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	State of Israel 7th Maccabee Fix 5Y BOND	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	State of Israel 6th Sabra Sav 3Y BOND	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	U.S. bank account #6 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)

## 7. Transactions

(N/A) - Not required for this type of report

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## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Kayne Anderson	Capital commitment for Kayne Anderson Energy Fund VII (#24 in Part 6)	\$100,001 - \$250,000	2016	N/A	on demand
2	Kayne Anderson	Capital commitment for Kayne Partners Fund IV (#26 in Part 6)	\$100,001 - \$250,000	2016	N/A	on demand
3	Kayne Anderson	Capital commitment for Kayne Anderson Real Estate Partners III (#27 in Part 6)	\$50,001 - \$100,000	2013	N/A	on demand
4	CitiMortgage, Inc.	See Endnote	Mortgage on Personal Residence \$250,001 - \$500,000	2005	LIBOR + 2.25%	30

## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

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## Endnotes

PART	#	ENDNOTE
1.	1	I have been with this firm since January 1999. Prior to Managing Partner, I was Partner (Jan 2004-Feb 2012), and Associate (Jan 1999-Dec 2003).

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PART	#	ENDNOTE
1.	2	The position title of "Lecturer in Law" started in January 2016. Prior to this, the position was titled "Adjunct Professor" (from August 2011).
2.	10	Shares owned by Irell & Manella, not me, and they can be sold only at the firm's discretion. If and when they are sold, I am entitled to a share based on my ownership percentage at the time the shares were originally acquired by the firm.
2.	11	Shares owned by Irell & Manella, not me, and they can be sold only at the firm's discretion. If and when they are sold, I am entitled to a share based on my ownership percentage at the time the shares were originally acquired by the firm.
2.	12	Shares owned by Irell & Manella, not me, and they can be sold only at the firm's discretion. If and when they are sold, I am entitled to a share based on my ownership percentage at the time the shares were originally acquired by the firm.
2.	13	Shares owned by Irell & Manella, not me, and they can be sold only at the firm's discretion. If and when they are sold, I am entitled to a share based on my ownership percentage at the time the shares were originally acquired by the firm.
4.	3	Ariosa was acquired by Roche.
4.	4	B/E was recently acquired by Rockwell Collins.
4.	10	St. Jude was recently acquired by Abbott.
4.	12	TiVo was recently acquired by Rovi Corp.
4.	15	Technicolor is a related entity.
6.	20.4	No longer part of plan.
6.	20.5	No longer part of plan.
8.	4	This was paid off in October 2016.

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

## 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

## **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

## **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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