



Filing ID #10017986

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Mai-Khanh Tran
Status: Congressional Candidate
State/District: CA39

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2017
Filing Date: 10/1/2017

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
American Century Investments ⇒ Ultra Fund Investor Class	JT	\$15,001 - \$50,000	Capital Gains	None	None
American Funds ROTH IRA ⇒ AMCAP Fund-A		\$1,001 - \$15,000	Tax-Deferred		
American Funds ROTH IRA ⇒ Fundamental Investors-A		\$15,001 - \$50,000	Tax-Deferred		
American Funds ROTH IRA ⇒ New World Fund-A		\$1,001 - \$15,000	Tax-Deferred		
American Funds ROTH IRA ⇒ SMALLCAP World Fund-A		\$15,001 - \$50,000	Tax-Deferred		
American Funds ROTH IRA ⇒ The Growth Fund of America-A		\$15,001 - \$50,000	Tax-Deferred		
American Funds ROTH IRA ⇒ The New Economy Fund-A		\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
AXA Equitable Life Insurance Co. ⇒ AXA Agg Allocation Fund		\$100,001 - \$250,000	None		
ExxonMobil 401(k) ⇒ Exxon Mobil Corporation (XOM)	SP	\$1,000,001 - \$5,000,000	Tax-Deferred		
Fidelity Investments ⇒ Alibaba Group Holding Limited American Depositary Shares each representing one Ordinary share (BABA)		\$15,001 - \$50,000	Capital Gains	None	None
Fidelity Investments ⇒ Alphabet Inc. - Class A (GOOGL)		\$100,001 - \$250,000	Capital Gains	None	None
Fidelity Investments ⇒ Alphabet Inc. - Class C Capital Stock (GOOG)		\$15,001 - \$50,000	Capital Gains	None	None
Fidelity Investments ⇒ Altaba Inc. (AABA)		\$15,001 - \$50,000	Capital Gains	None	None
Fidelity Investments ⇒ Amazon.com, Inc. (AMZN)		\$100,001 - \$250,000	Capital Gains	None	None
Fidelity Investments ⇒ Apple Inc. (AAPL)		\$100,001 - \$250,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Fidelity Investments ⇒ Bank of America Corporation (BAC)		\$50,001 - \$100,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Fidelity Investments ⇒ Boeing Company (BA)		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Fidelity Investments ⇒ Broadcom Limited - Ordinary Shares (AVGO)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Fidelity Investments ⇒ Facebook, Inc. - Class A (FB)		\$100,001 - \$250,000	Capital Gains	None	None
Fidelity Investments ⇒ PowerShares QQQ Trust, Series 1 (QQQ)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Fidelity Investments ⇒ Skyworks Solutions, Inc. (SWKS)		\$100,001 - \$250,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Fidelity Investments 401(k) ⇒		\$50,001 -	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Col SM Cap Val II Z		\$100,000			
Fidelity Investments 401(k) ⇒ FID Asset MGR 50%		\$50,001 - \$100,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Contrafund		\$250,001 - \$500,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Diversifd Intl		\$100,001 - \$250,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Emerging Mkts		\$50,001 - \$100,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Freedom 2015		\$100,001 - \$250,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Government Money Market		\$250,001 - \$500,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Levergd Co Stk		\$50,001 - \$100,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Real Estate Invs		\$50,001 - \$100,000	Tax-Deferred		
Fidelity Investments ROTH IRA ⇒ Apple Inc. (AAPL)	SP	\$1,001 - \$15,000	Tax-Deferred		
Fidelity Investments ROTH IRA ⇒ Apple Inc. (AAPL)	SP	\$1,001 - \$15,000	Tax-Deferred		
H. Beck, Inc. ⇒ Apple Inc. (AAPL)	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
H. Beck, Inc. ⇒ Citigroup, Inc. (C)	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
H. Beck, Inc. ⇒ Franklin Mutual Financial Services Fund Class A	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
H. Beck, Inc. ⇒ General Electric Company (GE)	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000

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H. Beck, Inc. ⇒ Goldman Sachs Group, Inc. (GS)	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
H. Beck, Inc. ⇒ Hartford Financial Services Group, Inc. (HIG)	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
H. Beck, Inc. ⇒ Hartford Healthcare Fund Class A	JT	\$1,001 - \$15,000	Capital Gains	None	None
H. Beck, Inc. ⇒ JP Morgan Chase & Co. (JPM)	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
H. Beck, Inc. ⇒ McDonald's Corporation (MCD)	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
H. Beck, Inc. ⇒ United States Steel Corporation (X)	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Janus Fund D Shares	JT	\$15,001 - \$50,000	Capital Gains	None	None
Rental Home LOCATION: Irvine, CA, US	JT	\$500,001 - \$1,000,000	Rent	\$2,501 - \$5,000	\$15,001 - \$50,000
TD Ameritrade ⇒ Alphabet Inc. - Class A (GOOGL)	JT	\$1,001 - \$15,000	Capital Gains	None	None
TD Ameritrade ⇒ Alphabet Inc. - Class C Capital Stock (GOOG)	JT	\$1,001 - \$15,000	Capital Gains	None	None
TD Ameritrade ⇒ Amazon.com, Inc. (AMZN)	JT	\$50,001 - \$100,000	Capital Gains	None	None
TD Ameritrade ⇒ Apple Inc. (AAPL)	JT	\$50,001 - \$100,000	Capital Gains, Dividends	None	\$2,501 - \$5,000
TD Ameritrade ⇒ Bank of America Corporation (BAC)	JT	\$50,001 - \$100,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
TD Ameritrade ⇒ Citigroup, Inc. (C)	JT	\$15,001 - \$50,000	Capital Gains, Dividends	None	None
TD Ameritrade ⇒	JT	\$250,001 -	Capital Gains	\$50,001 -	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Facebook, Inc. - Class A (FB)		\$500,000		\$100,000	
TD Ameritrade Institutional IRA ⇒ Applied Materials, Inc. (AMAT)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Archer-Daniels-Midland Company (ADM)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ AT&T Inc. (T)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ CDW Corporation (CDW)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Cincinnati Financial Corporation (CINF)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Cisco Systems, Inc. (CSCO)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Corning Incorporated (GLW)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ D.R. Horton, Inc. (DHI)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Danaher Corporation (DHR)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Delphi Automotive plc Ordinary Shares (DLPH)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Devon Energy Corporation (DVN)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Fidelity National Information Services, Inc. (FIS)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ General Dynamics Corporation (GD)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Helmerich & Payne, Inc. (HP)	SP	\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
TD Ameritrade Institutional IRA ⇒ JP Morgan Chase & Co. (JPM)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Lam Research Corporation (LRCX)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Loews Corporation (L)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ LyondellBasell Industries NV Ordinary Shares Class A (LYB)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Marriott International - Class A (MAR)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Marsh & McLennan Companies, Inc. (MMC)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Marsh & McLennan Companies, Inc. (MMC)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Merck & Company, Inc. Common Stock (MRK)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Morgan Stanley (MS)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Nasdaq, Inc. (NDAQ)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ NVIDIA Corporation (NVDA)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Raytheon Company (RTN)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ S&P Global Inc. (SPGI)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Texas Instruments Incorporated (TXN)	SP	\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
TD Ameritrade Institutional IRA ⇒ Thermo Fisher Scientific Inc (TMO)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Union Pacific Corporation (UNP)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Valero Energy Corporation (VLO)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Xilinx, Inc. (XLNX)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Alphabet Inc. - Class A (GOOGL)	SP	\$100,001 - \$250,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Amazon.com, Inc. (AMZN)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Apple Inc. (AAPL)	SP	\$100,001 - \$250,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Apple Inc. (AAPL)	SP	\$50,001 - \$100,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Bank of America Corporation (BAC)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Bank of America Corporation (BAC)	SP	\$100,001 - \$250,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Facebook, Inc. - Class A (FB)	SP	\$100,001 - \$250,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Goldman Sachs Group, Inc. (GS)	SP	\$50,001 - \$100,000	Tax-Deferred		
TD Ameritrade IRA ⇒ PowerShares QQQ Trust, Series 1 (QQQ)	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade IRA ⇒ SPDR S&P Aerospace & Defense ETF (XAR)	SP	\$50,001 - \$100,000	Tax-Deferred		

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Edinger Medical	Salary	\$100,000.00	\$483,000.00
Manpower Company	Spouse Salary	N/A	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Wells Fargo, Des Moines, IA	June 2015	Mortgage on rental house	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Vice President, Principal Medical Service Provider, and Founding Member	Damien the Leper Society

SCHEDULE F: AGREEMENTS

None disclosed.

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

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- o American Century Investments (Owner: JT)
- o American Funds ROTH IRA
- o AXA Equitable Life Insurance Co.
- o ExxonMobil 401(k) (Owner: SP)
- o Fidelity Investments
- o Fidelity Investments 401(k)
- o Fidelity Investments ROTH IRA (Owner: SP)
- o H. Beck, Inc. (Owner: JT)
- o TD Ameritrade (Owner: JT)
- o TD Ameritrade Institutional IRA (Owner: SP)
- o TD Ameritrade IRA (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: Mai-Khanh Tran , 10/1/2017