CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION
A PUBLIC DOCUMENT

STATEMENT OF ECONOMIC INTERESTS

COVER PAGE

Date Received
Official Use Only

APR 0 1 2011

Please type or print in ink.

NAME OF FILER (LAST)	(FIRST)	(MIDDLE)
Klein, II	Robert	N.

1. Office, Agency, or Court

Agency Name
California Institute for Regenerative Medicine

Division, Board, Department, District, if applicable
Independant Citizen's Oversight Committee

Your Position
Chair, ICOC

► If filing for multiple positions, list below or on an attachment.

Agency: _____ Position: _____

2. Jurisdiction of Office *(Check at least one box)*

☒ State
☐ Multi-County _____
☐ City of _____
☐ Judge (Statewide Jurisdiction)
☐ County of _____
☐ Other _____

3. Type of Statement *(Check at least one box)*

☒ **Annual:** The period covered is January 1, 2010, through December 31, 2010.

-or-

The period covered is ____/____/____, through December 31, 2010.

☐ **Assuming Office:** Date ____/____/____

☐ **Candidate:** Election Year _____ Office sought, if different than Part 1: _____

☐ **Leaving Office:** Date Left ____/____/____
(Check one)

○ The period covered is January 1, 2010, through the date of leaving office.

○ The period covered is ____/____/____, through the date of leaving office.

4. Schedule Summary

Check applicable schedules or "None."

► **Total number of pages including this cover page:** 13

☐ **Schedule A-1** - *Investments* – schedule attached
☒ **Schedule A-2** - *Investments* – schedule attached
☒ **Schedule B** - *Real Property* – schedule attached
☒ **Schedule C** - *Income, Loans, & Business Positions* – schedule attached
☒ **Schedule D** - *Income – Gifts* – schedule attached
☒ **Schedule E** - *Income – Gifts – Travel Payments* – schedule attached

-or-

☐ **None** - *No reportable interests on any schedule*

5. Verification

MAILING ADDRESS STREET	CITY	STATE	ZIP CODE
[redacted]	Palo Alto	CA	[redacted]

DAYTIME TELEPHONE NUMBER	E-MAIL ADDRESS
[redacted]	

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that th[redacted]

Date Signed 4/1/11 *(month, day, year)*

Signature _____ *(File the originally signed statement with your filing official.)*

CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION

Name

Robert N. Klein, II

SCHEDULE A-2

Investments, Income, and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

<BLUE> is a required field

** Select from drop down list*

1. Business Entity or Trust							2. Gross Income Received	3. Sources of Income of $10,000 or more	4. Investments or Interests in Real Property Held by the Business Entity or Trust *(Use a separate line for each investment or real property interest.)*					
NAME AND ADDRESS OF BUSINESS ENTITY OR TRUST *(Business Address Acceptable)* (If Trust, go to 2)	GENERAL DESCRIPTION OF BUSINESS ACTIVITY	FAIR MARKET VALUE*	LIST DATE ACQUIRED OR DISPOSED (mm/dd/2010)	A or D	NATURE OF INVESTMENT (If "other," describe)*	YOUR BUSINESS POSITION	INCLUDE YOUR PRO RATA SHARE OF GROSS INCOME TO ENTITY/TRUST*	LIST SINGLE SOURCES OF INCOME OF $10,000 OR MORE	INVESTMENT-BUSINESS ENTITY/NAME, AND BUSINESS ACTIVITY	REAL PROPERTY-LIST PRECISE LOCATION OF REAL PROPERTY	FAIR MARKET VALUE*	LIST DATE ACQUIRED OR DISPOSED (mm/dd/2010)	A or D	NATURE OF INTEREST (If "other," describe)*
Klein Financial Corporation 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate/ Financial Consulting	Over $1,000,000			S Corporation	President	Over $100,000	(1) BT Livermore Associates, LP (2) California Investment Management Corporation	Klein Financial South, A California Partnership Real Estate/ Financial Consulting	Investment	Over $1,000,000			Partnership
								(3) Callahan Property Company, Inc (4) Guttman Initiatives (5) Klein Capital Solutions (6) Klein Ventures, LLC	Klein Capital Solutions, Inc. Acquire, own, manage and sell real estate interests for investment purposes and to advise clients regarding the same. SEE COMMENTS.	Investment	$100,001 - $1,000,000			Stock
								(7) Livermore Senior Living Associates, LP (8) M2 Phoenix 1222, LLC (9) M2 Vallejo 178, LP	Klein Ventures, LLC Set up to acquire 4.77% membership interest in KSC Affordable Housing Investment Fund, LLC. SEE COMMENTS.	Investment	Over $1,000,000			Limited Liability Company

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								(9) McDermott Properties (Conter Estates) (10) Mass Mutual (11) Physicians' Building Partners (12) Robert N. Klein	BT Livermore Associates, LP Ownership interest in Livermore Senior Housing Associates, LLC, the managing partner of Livermore Senior Living Associates, LP, owner of a 250-unit senior apartment community and direct LP ownership interest.	Investment	Over $1,000,000			Partnership
									BT Livermore Associates, Inc. Sole general partner of BT Livermore Associates, LP and owns .01% of partnership interest.	Investment	$10,001 - $100,000			Stock
									116 Ivy Investments, LLC Permanent Subordinate Debt Lender for Project	Investment	$100,001 - $1,000,000			Limited Liability Company

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									Avenue A Investments, LLC Lender for a construction project for multi-family housing in Boise, Idaho	Investment	$10,001 - $100,000			Limited Liability Company
									Cinnabar Commons, LP Formed to develop a 245 unit family apartment community in San Jose, CA	Investment	$100,001 - $1,000,000			Partnership
									Klein Miller I, LLC Formed for the purpose of becoming a member of Klein Ventures, LLC, a Delaware LLC. SEE COMMENTS	Investment	Over $1,000,000			Limited Liability Company
Physician's Building Partners 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate Rental SEE COMMENTS	$100,001 - $1,000,000			Partnership	General Partner	$10,001- $100,000	(1) Robert N. Klein; (2) Allbritten Plumbing		2607 Fresno Street, Fresno CA 93721	$100,001 - $1,000,000			Ownership/Deed of Trust
Klein Financial Resources, Inc. 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate/ Financial Consulting	$100,001 - $1,000,000			S Corporation	President	$10,001- $100,000	Klein Financial Corporation						
California Investment Management Corporation 2607 Fresno Street, Suite A, Fresno CA 93721	Investment and Property Management	$10,001 - $100,000			Corporation	CEO & Secretary	$10,001- $100,000	n/a						

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Klein Group, Inc. 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate Development and Consulting	$2,000 - $10,000			S Corporation	President	$1,001-$10,000	n/a						
Central Urban Developers 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate Development	$2,000 - $10,000			S Corporation	President	$1,001-$10,000	n/a						
The Orchard Ventures I 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate Investment	$10,001 - $100,000			Partnership	Limited Partner	$1,001-$10,000	n/a		Ponding Basin S. Anchor Avenue & E. Parlier Avenue Orange Cove CA	$10,001 - $100,000			Ownership/Deed of Trust
									Orchard Village Apartments Apartment Complex in Orange Cove CA		$10,001 - $100,000			Partnership

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SCHEDULE A-2

Investments, Income, and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

<BLUE> is a required field

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1. Business Entity or Trust							2. Gross Income Received	3. Sources of Income of $10,000 or more	4. Investments or Interests in Real Property Held by the Business Entity or Trust *(Use a separate line for each investment or real property interest)*					
NAME AND ADDRESS OF BUSINESS ENTITY OR TRUST *(Business Address Acceptable)* (If Trust, go to 2)	GENERAL DESCRIPTION OF BUSINESS ACTIVITY	FAIR MARKET VALUE*	LIST DATE ACQUIRED OR DISPOSED (mm/dd/2010)	A or D	NATURE OF INVESTMENT (if "other," describe)*	YOUR BUSINESS POSITION	INCLUDE YOUR PRO RATA SHARE OF GROSS INCOME TO ENTITY/TRUST*	LIST SINGLE SOURCES OF INCOME OF $10,000 OR MORE	INVESTMENT-BUSINESS ENTITY/NAME, AND BUSINESS ACTIVITY	REAL PROPERTY-LIST PRECISE LOCATION OF REAL PROPERTY	FAIR MARKET VALUE*	LIST DATE ACQUIRED OR DISPOSED (mm/dd/2010)	A or D	NATURE OF INTEREST (if "other," describe)*
BMT Associates, LLC 550 California Avenue, Suite 330, Palo Alto CA 94306	Real Estate Investment SEE COMMENTS	Over $1,000,000			Limited Liability Company	Manager	$0-$499		Livermore Independent Living Associates, LLC Owner of a 71.1% interest in Murrieta Investors, LLC, who owns a majority limited partnership interest in Murrieta Senior Associates, LP, a 130 unit independent senior apartment community in Livermore, CA SEE COMMENTS		Over $1,000,000			Limited Liability Company
Guttman Associates Consulting, LLC 11 Buck Meadow Drive Portola Valley CA 94028	Consulting	$100,001 - $1,000,000			Wife's separate property	N/A - Married to owner	$0-$499							
Livermore Independant Senior Apartments Bond Fund, LP	Investment	$100,001 - $1,000,000	11/18/2010	A	Partnership	Partner	$10,001-$100,000							

CALIFORNIA FORM 700
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Name

Robert N. Klein, II

SCHEDULE B

Interests in Real Property
(Including Rental Income)

<BLUE> is a required field

** Select from drop down list*

*You are not required to report loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

Real Property Disclosure							Lender Disclosure				
STREET ADDRESS OR PRECISE LOCATION AND CITY	FAIR MARKET VALUE*	LIST DATE ACQUIRED OR DISPOSED (mm/dd/2010)	A or D	NATURE OF INTEREST* (if "other," describe)	IF RENTAL PROPERTY, LIST GROSS INCOME RECEIVED*	SOURCE OF RENTAL INCOME OF $10,000 OR MORE	NAME AND ADDRESS OF LENDER* *(Business Address Acceptable)* AND GUARANTOR, IF ANY	BUSINESS ACTIVITY, IF ANY	INTEREST RATE (%)	TERM (Mos/Yrs)	HIGHEST BALANCE*
Danielle Guttman-Klein [redacted] SEE COMMENTS.	Over $1,000,000			No ownership/ wife's separate property							
[redacted] Portola Valley CA [redacted] SEE COMMENTS.	$100,001 - $1,000,000			Ownership/Deed of Trust							

SCHEDULE C
Income, Loans, & Business Positions
(Other than Gifts and Travel Payments)

CALIFORNIA FORM **700**
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Name
Robert N. Klein, II

<BLUE> is a required field

** Select from drop down list*

**You are not required to report loans from commercial lending institutions, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

1. Income Received

NAME AND ADDRESS OF SOURCE	BUSINESS ACTIVITY, IF ANY	YOUR BUSINESS POSITION	GROSS INCOME RECEIVED*	CONSIDERATION FOR WHICH INCOME WAS RECEIVED* (if "other," describe)
Klein Financial Corporation 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate/ Financial Consulting	President	Over $100,000	Salary
Klein Financial Resources, Inc. 2607 Fresno Street, Suite A, Fresno CA 93721	Real Estate/ Financial Consulting	President	$10,001- $100,000	Interest Income
Livermore Senior Apartments Bond Fund, LP 550 California Avenue Palo Alto CA 94306	Bond Investment	Partner	$10,001- $100,000	Interest Income

2. Loans Received or Outstanding

NAME AND ADDRESS OF LENDER** *(Business Address Acceptable)* AND GUARANTOR, IF ANY	BUSINESS ACTIVITY, IF ANY	HIGHEST BALANCE*	INTEREST RATE (%)	TERM (Mos/Yrs)	SECURITY FOR LOAN REAL PROPERTY ADDRESS/OTHER INFORMATION*
Livermore Senior Apartments Bond Fund, LP	Bond Investment	$10,001- $100,000	0.000%	5-9 years	Unsecured debt backed by partial interest in Redevelopment Agency of the City of Livermore Multifamily Housing Revenue Refunding Bonds 2009 Subordinate Series A-S

Schedule D
Income - Gifts

CALIFORNIA FORM 700
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NAME OF SOURCE	ADDRESS OF SOURCE (Business Address Acceptable)	ZIP CODE	BUSINESS ACTIVITY IF ANY, OF SOURCE	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
UCLA	Los Angeles CA	90095	Higher Education	01/22/10	$ 100.00	Dinner
Stanford University	Stanford CA	94305	Higher Education	02/05/10	$ 100.00	Dinner
Stanford University	Stanford CA	94305	Higher Education	10/27/10	$ 100.00	Dinner
Stanford University	Stanford CA	94305	Higher Education	12/10/10	$ 75.00	Dinner
Research America	1101 King Street Alexandria VA	22314	Non-profit Organization	03/16/10	$ 100.00	Dinner
The Alliance for Regenerative Medicine	2099 Pennsylvania Avenue NW Washington DC	20006	Non-profit Organization	04/06/10	$ 100.00	Dinner
The Alliance for Regenerative Medicine	2099 Pennsylvania Avenue NW Washington DC	20006	Non-profit Organization	04/07/10	$ 50.00	Lunch
Victorian Government	1 Treasury Place Melbourne, Victoria Austrailia	3002	Government	05/03/10	$ 100.00	Dinner
Biotechnology Industry Organization (BIO)	1201 Maryland Avenue SW Suite 900 Washington DC	20024	Biotechnology Organization	05/05/10	$ 25.00	Dessert
Biotechnology Industry Organization (BIO)	1201 Maryland Avenue SW Suite 900 Washington DC	20024	Biotechnology Organization	05/05/10	$ 100.00	Dinner
Young Presidents Organization	600 E Las Colinas Blvd, Ste 1000 Irving TX	75039	Non-profit Organization	06/10/10	$ 75.00	Dinner
New York Stem Cell Foundation	163 Amsterdam Ave, Box 309 New York NY	10023	Non-profit Organization	06/17/10	$ 150.00	Dinner
BayBio	400 Oyster Point Blvd, Ste 221 South San Francisco CA	94080	Non-profit Organization	08/25/10	$ 100.00	Dinner
Citi Community Capital	1801 California St, Ste 3700 Denver CO	80202	Financing	09/08/10	$ 75.00	Dinner
Ontario Institute for Cancer Research	MaRS Centre, South Tower 101 College St, Ste 800 Toronto, Ontario Canada	M5G 0A3	Non-profit Organization	09/13/10	$ 65.00	Dinner
McEwen Centre for Regenerative Medicine	MaRS Centre, Toronto Medical Discovery Tower 101 College St 8th Floor, Room 701 Toronto, Ontario Canada	M5G 1L7	Regenerative Medicine	09/14/10	$ 75.00	Lunch
McEwen Centre for Regenerative Medicine	MaRS Centre, Toronto Medical Discovery Tower 101 College St 8th Floor, Room 701 Toronto, Ontario Canada	M5G 1L7	Regenerative Medicine	09/14/10	$ 85.00	Dinner
The Gairdner Foundation	4 Devonshire Place Toronto, Ontario Canada	M5s 2E1	Non-profit Organization	09/15/10	$ 25.00	Lunch
The Gairdner Foundation	4 Devonshire Place Toronto, Ontario Canada	M5s 2E1	Non-profit Organization	09/15/10	$ 75.00	Dinner

Schedule D
Income - Gifts

CALIFORNIA FORM 700
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Name
Robert N. Klein, II

<BLUE> is a required field

NAME OF SOURCE	ADDRESS OF SOURCE (Business Address Acceptable)	ZIP CODE	BUSINESS ACTIVITY, IF ANY, OF SOURCE	DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
Andalucia Initiative for Advanced Therapies	Sevicio Andaluz de Salud c/ Maese Rodrigo n 1, 1 Izq.	41001 SEVILLA	Regional Government	10/05/10	$ 75.00	Dinner
Shorenstein Family or Stanford University	2560 Divisadero St., San Francisco, CA or Stanford, CA	94305		10/07/10	$ 75.00	Dinner
CONNECT and Sanford Burham	8950 Villa La Jolla Drive, Ste A-124 La Jolla, CA	92037	Non-profit Organization	12/06/10	$ 125.00	Reception & dinner
Buck Institute	8001 Redwood Blvd Novato CA	94945	Research Facility	12/07/10	$ 60.00	Lunch
Deutsch Bank	233 Wilshire Blvd, Ste 500 Santa Monica CA	90401	Banking Institution	12/20/10	$ 50.00	Lunch
Alliance Property Management	2415 E Camelback Rd, Ste 600 Phoenix AZ	85016	Property Management	12/21/10	$ 50.00	Lunch
Leisure Care	1601 Fifth Avenue Seattle WA	98101	Affordable Housing	12/28/10	$ 264.00	Champagne flutes & champagne

CALIFORNIA FORM **700**

FAIR POLITICAL PRACTICES COMMISSION

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Robert N. Klein, II

SCHEDULE E

Income - Gifts
Travel Payments, Advances, and Reimbursements

<BLUE> is a required field

You are not required to report income from government agencies.

NAME AND ADDRESS OF SOURCE *(Business Address Acceptable)*	BUSINESS ACTIVITY, IF ANY, OF SOURCE	DATE(S) (mm/dd/yy) (If applicable)	AMOUNT	TYPE OF PAYMENT (Gift or Income)	DESCRIPTION
The Alliance for Regenerative Medicine 2099 Pennsylvania Avenue NW Washington DC 20006	Non-profit Organization	4/6/2010	$ 75.00	Income	One night lodging in Winston-Salem NC; invited speaker at event 4/7/10
Biotechnology Industry Organization (BIO) 1201 Maryland Avenue SW, Ste 900 Washington DC 20024	Biotechnology Organization	5/3/2010	$ 500.00	Income	Three nights lodging in Chicago (5/3, 5/4, 5/5); invited speaker at events 5/4 & 5/5
The Genetics Policy Institute 11924 Forest Hill Blvd, Ste 22 Wellington FL 33414	Advocacy Organization	10/4/2010	$ 220.00	Income	Two nights lodging in Detroit (10/4 & 10/5); invited speaker at World Stem Cell Summit events on 10/5
The Genetics Policy Institute 11924 Forest Hill Blvd, Ste 22 Wellington FL 33414	Advocacy Organization	12/1/2010	$ 1,339.46	Income	Reimbursement received for airfare and transportation; invited speaker at 2010 World Stem Cell Summit on 10/5
The Gairdner Foundation 4 Devonshire Place Toronto, Ontario Canada M5S 2E1	Non-profit	12/17/2010	$ 1,365.95	Income	Reimbursement received for airfare and three nights lodging (nights of 9/13, 9/14, 9/15); invited speaker at events on 9/14 & 9/15

Form 700x Comments

Schedules A-1 through E Comments

CALIFORNIA FORM 700
FAIR POLITICAL PRACTICES COMMISSION

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Robert N. Klein, II

Schedule A-1 Comments

Schedule A-2 Comments

KLEIN CAPITAL SOLUTIONS, INC.: Klein Capital Solutions, Inc. previously owned a 50% interest in Livermore Independent Living Associates, LLC ("Livermore"), a California limited liability company. In late 2004, Klein Capital Solutions Inc. assigned its interest in Livermore to BMT Associates, LLC. Robert Klein owns a 71.1% interest in BMT Associates, LLC. Klein Capital Solutions owns a 5% interest in Klein Ventures, LLC.
KLEIN VENTURES, LLC: Klein Ventures, LLC entered into a partnership amendment in 2007 to reduce Klein Financial Corporation's profit/loss sharing percentage from 95% to 60%. Robert Klein received a 35% profit/loss sharing percentage for services rendered.
KLEIN MILLER I, LLC: Klein Miller I, LLC entered into a partnership amendment in 2007 to reduce Klein Financial Corporation's profit/loss sharing percentage from 63.794% to 33.794%. Robert Klein received a 30% profit/loss sharing percentage for services rendered.
PHYSICIANS BUILDING PARTNERS: The Physicians Building is a National Historic Building, approximately 6,000 sq ft, named because a group of physicians built it approximately 80 years ago. Occupants of the building include a law firm and Klein Financial Corporation financial consulting offices. There are no physicians in the building and no medical research is conducted in the building
BMT ASSOCIATES, LLC: BMT Associates, LLC was formed November 30, 2004 and owns 50% of Livermore Independent Living Associates, LLC.
LIVERMORE INDEPENDANT LIVING ASSOCIATES, LLC: Livermore Independant Living Associates, LLC also owns a .01% general partner interest in Murrieta Senior Associates, LP.

Schedule B Comments

DANIELLE GUTTMAN KLEIN: This is separate property of spouse; no community property interest and no community property income.
[redacted] Portion of home committed to business use.

Schedule C Comments

Schedule D Comments

Robert N. Klein

January 18, 2005

To: Melissa King
California Institute of Regenerative Medicine

From: Robert N. Klein, Chairman of the Board
Independent Citizens Oversight Committee

Re: Supplement to Form 700

As previously represented, I continue to pledge to the Board and the Institute that I will not hold any biomedical stock or investment interest during my term as Chairman and I do not currently own any biomedical stock or investment interest.

I further pledge that I will not own any stock or investment interest in any real estate company that is reasonably likely to benefit from a grant, loan, or contract issued by the Institute, and do not currently own any such stock or investment interest.

In addition, I assure you that my company, Klein Financial Corporation, does not engage in biomedical research, will not apply for a grant, loan, or contract from the Institute, nor will it benefit from any lease or construction contract associated with the Institute.

[redacted]

3/30/06 Resigned [redacted] 4/09 Re-signed

4/1/11 [redacted]

550 S. California, Suite 300 o Palo Alto o California o 94306
650-812-1010 | 650-812-1018