

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Kozinski, Alex	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 7/25/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2015 to 12/31/2015
7. Chambers or Office Address 125 S. Grand Avenue Suite 200 Pasadena, CA 91105		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Limited Partnerships	Reported in Section VII
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. Feb 4-6	Case Western Reserve School of Law - Teaching	\$2,500.00
2. April 9-12	U.C. Davis - Teaching	\$2,500.00
3. August 5	Assn. for Education in Journalism & Mass Communication - Teaching	\$500.00
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	Self-employed attorney
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Case Western Reserve School of Law	Feb 4-6	Cleveland, Ohio	Teaching	Travel & Lodging
2. Gonzaga University	March 23-14	Spokane, WA	Speaking Engagement	Travel & Lodging
3. U.C. Davis	April 9-12	Sacramento, CA	Teaching	Travel & Lodging
4. Heritage Spring Legal	May 6-7	Bellevue, WA	Speaking Engagement	Travel & Lodging
5. Stanford Univ. Law School	June 7-8	Palo Alto, CA	Speaking Engagement	Travel & Lodging
6. UCL 5th Annual Sir Hugh Laddie Lecture	June 24-30	London, England	Speaking Engagement	Travel & Lodging, self & spouse

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7.	Jon Fougner	July 24-26	Napa Valley, CA	Perform Wedding	Travel & Lodging, self & spouse
8.	Assn for Education in Journalism & Mass Communicaiton	August 5	San Francisco, CA	Teaching	Travel
9.	The Federalist Society-Silicon Valley	August 20-21	Palo Alto, CA	Speaking Engagement	Travel & Lodging
10.	CA Attorneys for Criminal Justice	August 21-22	San Francisco, CA	Speaking Engagement	Travel & Lodging
11.	CBS 60 Minutes	August 28-30	New York, NY	Interniew	Travel & Lodging
12.	Baker & McKenzie Practice Group Retreat	Sept. 11-13	Carmel, CA	Speaking Engagement	Travel & Lodging, self & spouse
13.	The Federalist Society-Columbia Law School	Sept. 16-17	New York, NY	Speaking Engagement	Travel & Lodging
14.	Foley & Lardner, LLP, IP Conference	Sept. 17-19	Chicago, ILL	Speaking Engagement	Travel & Lodging
15.	Santa Clara Univiversity NCIP Symposium	Sept 24-25	Santa Clara, CA	Speaking Engagement	Travel & Lodging
16.	ABTL 42nd Annual Seminar	Oct 1-4	Ojai Valley, CA	Speaking Engagement	Travel & Lodging, self & spouse
17.	San Diego Federal Defenders Annual Conference	Oct. 10	San Diego, CA	Speaking Engagement	Travel
18.	Berkeleyside LLC - Festival of Ideas	Oct. 15-16	Berkeley, CA	Speaking Engagement	Travel & Lodging
19.	The Constitution Project	Oct 28	Washington, D.C.	Speaking Engagement	Travel & Lodging
20.	The Federalist Society-Nat'l Lawyers Convention	Nov 12-14	Washington, D.C.	Speaking Engagement	Travel & Lodging
21.	CATO Institute	Nov. 15-17	Washington, D.C.	Speaking Engagement	Travel & Lodging

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. 816 SHS SANMINA-SCI	A	Dividend			Sold	04/26/10	J	A	
2. 121 SHS STANCORP	A	Interest	J	T					
3. DREYFUS MUNI MONEY MARKET FUND	A	Interest	L	T					
4. SCHWAB MONEY MARKET FUND	A	Interest	N	T	Buy (add'l)	12/15/15	M		
5. Fidelity Cash Reserves(FDRXX)	A	Interest	K	T					
6. ARNA	A	Dividend			Sold	4/9/15	J	A	
7. TIP	A	Dividend	K	T					
8. HYG	A	Dividend	K	T					
9. BND	A	Dividend	J	T					
10. VWO	A	Dividend	K	T					
11. VGK	A	Dividend	K	T					
12. VPL	A	Dividend	K	T					
13. VNQ	A	Dividend	J	T					
14. VB	A	Dividend			Sold	12/15/15	K	A	
15. VTI	A	Dividend			Sold	12/15/15	K	A	
16. SPDR	A	Dividend			Buy	05/04/15	J		
17. SPDR	A	Dividend			Sold	12/15/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. (PTR) HISTORIC PRE. PROP.	A	Interest	J	U					
19. (PTR) WINGATE HSG. II	A	Interest	J	U					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII

Line 1 - Sanmina-SCI Shares. I had difficulty tracing what had happened to these shares for the past several years because they were not held in a trading account and the paper file had been misplaced. I was recently able to confirm that they were sold in April 2010. Please consider this an amendment to the Financial Disclosure Forms previously filed for all years between 2010 and the present.

Line 5 in prior reports was actually a duplicate of Line 4. It was originally done this way because the Judge and I each have IRAs with Schwab. However, it seems to make more sense to just reflect this as a single, combined entry. Also, as noted on the report, the amount of money in the Schwab account has increased not just because of the combination, but also because funds from the sale of other stocks were put in the money market fund.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Alex Kozinski**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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