

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Kleinfeld, Andrew J.	2. Court or Organization Ninth Circuit	3. Date of Report 08/06/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address Courthouse Square 250 Cushman St. Suite 3-A Fairbanks, Alaska 99701		
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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Co-Trustee	Trust #1
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. 2011	ABA Members Retirement Program, no control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Kleinfeld, Andrew J.

Date of Report

08/06/2012

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. 2011	State of Alaska, Permanent Fund Dividend	\$1,174.00
2. 2011	Metropolitan Life Insurance Co. (Deferred Comp)	\$21,936.00
3. 2011	Prudential Life Insurance Co. (Deferred Comp)	\$20,652.00
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. 2011	Self employed writer and educational consultant - See Part VIII
2. 2011	State of Alaska - Permanent Fund Dividend
3. 2011	State of Alaska - Retirement
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. The Federalist Society	October 15-17, 2011	San Francisco, CA	Speech to the Berkeley Federalist Society	Transportation, meals, hotel
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Kleinfeld, Andrew J.

Date of Report

08/06/2012

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Kleinfeld, Andrew J.

Date of Report

08/06/2012

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. Morgan Stanley - Money Mkt Account	A	Dividend	L	T					
2. Radio Shack Common Stock	A	Dividend	J	T					
3. DWS Funds	C	Dividend	M	T					
4. Keogh Plan - Administered by ABA	E	Int./Div.	P1	T					
5. Black Rock Total Return Fund	D	Dividend	M	T					
6. 403(b) and IRA Rollover Plans w/ Vanguard	A	Int./Div.	N	T					
7. AT&T Common Stock	B	Dividend			Sold	12/20/11	K	D	
8. Qwest Common Stock (Now Centurylink)	A	Dividend	J	T					
9. Am Elect Power Common Stock	C	Dividend	L	T					
10. Verizon Common Stock	A	Dividend			Sold	12/12/11	J	B	
11. Northrop Grumman, Common Stock	C	Dividend	L	T					
12. Denali State Bank Accounts	A	Interest	M	T					
13. Morgan Stanley Global Infrastructure Fd UTLQX (Trust #1)	A	Interest			Sold	6/24/11	K	A	
14. U.S. Savings Bonds (Trust #1)	C	Interest	M	T					
15. Morgan Stanley Tax Exempt Sec Tr TAXDX (Trust #1)	A	Interest			Sold	5/19/11	L	A	
16. Franklin Fed Tax Free Inc Fd FKITX (Trust #1)	B	Interest			Sold	5/19/11	M	A	
17. Franklin Tax Free Tr FKITX (Trust#1)	A	Dividend			Sold	5/19/11	K	A	

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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Kleinfeld, Andrew J.

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18. Met Life - Trust Interests	A	Dividend	J	T					
19. Northern Growth Equity Fund NOGEX (Trust #1)	B	Dividend			Sold	6/24/11	M	A	
20. Northern Income Equity Fund NOIEX (Trust #1)	B	Dividend	M	T					
21. Northern Int'l Growth Equity Fund NOIGX (Trust #1)	A	Dividend	K	T					
22. TIAA-CREF Retirement Annuity	A	Int./Div.	M	T					
23. Northern Money Mrt Account (Trust #1)	A	Interest	L	T					
24. Transamerica Whole Life Policy	B	Interest	K	T					
25. Transamerica Whole Life Policy	C	Interest	L	T					
26. AK State Housing Fin Corp	B	Interest	K	T					
27. Kitsap Cnty Wash GO	A	Interest	K	T					
28. Mat-Su AK Port	B	Interest	K	T					
29. Wells-Evergreen Money Market	A	Interest	J	T					
30. Fidelity Investments Deferred Comp	B	Interest	K	T					
31. Fairpoint Communication, Inc stock	A	Dividend	J	T					
32. Symetra Invest Serv Cash Acct	A	Interest	J	T					
33. Calamus Growth Fund CGRIX	A	Dividend	K	T					
34. American Funds Euro Growth Fnd AEGFX	A	Dividend	K	T					

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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Kleinfeld, Andrew J.

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08/06/2012

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35. Fairhome Fund FAIZX	A	Dividend	K	T					
36. First Eagle Sogen Fds SGIIX	A	Dividend	K	T					
37. Growth Fnd America GFAFX	A	Dividend	L	T					
38. Janus Perkins Mid CapValue Fd Inv JMVAX	A	Dividend	K	T					
39. Legg Mason Ptrs Equity Tr SAGYX	A	Dividend	L	T					
40. Loomis Sayles Invt Fds Bond Fd LBSRX	B	Dividend	K	T					
41. PIMCO FDS Pac Invt Mgmt Ser Total Return Fd Instl Cl PTRRX	A	Dividend	K	T					
42. Davis NY Venture Fd Inc Cl Y DNYYX	B	Dividend	L	T					
43. MCF SPDR Gold Tr Gold Shares GLD (Trust #1)		None	K	T	Buy (add'l)	5/19/11	K		
44. MFO Pimco Fds Pac Invt Mgmt PCRIX (Trust #1)	A	Dividend	J	T					
45. MFO Vanguard Fixed Inc Secs VIPSX (Trust #1)	A	Dividend	K	T					
46. MFC Ishares Tr MSCI Emerg Mks EEM (Trust #1)	A	Dividend	K	T					
47. MFB N Funds Stk Index Fd NOSIX (Trust #1)	B	Dividend	M	T	Buy (add'l)	6/24/11	L		
48. MFB N Multi Mgr Mid Cap Fd NMMCX (Trust #1)	A	Dividend	L	T	Buy (add'l)	5/19/11	K		
49. Frontier Communications Common Stock	A	Dividend	J	T					
50. Huntington Ingalls Industries Stock	A	Dividend	J	T	Spinoff (from line 11)	3/31/11	J		
51. MFC Shares Tr Barclays Fd CSJ (Trust #1)	A	Dividend	L	T	Buy	6/24/11	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Kleinfeld, Andrew J.

Date of Report

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52. MFC Ishares Tr Dow Fd DVY (Trust #1)	B	Dividend	L	T	Buy	6/24/11	L		
53. MFB Northern Fd NMMLX (Trust #1)	B	Dividend	M	T	Buy	6/24/11	M		
54. MFB Northern Fds Bd Index Fd NOBOX (Trust #1)	A	Dividend	K	T	Buy	6/24/11	K		
55.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Kleinfeld, Andrew J.

Date of Report

08/06/2012

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

Various stocks (including, but not limited to, Qwest, American Electric, AT&T, Northrup Grumman, Fairpoint, and Verizon) accrue additional shares through dividend reinvestment programs.

Judge Kleinfeld (Person Reporting) is a Co-Trustee of a trust (Trust #1). Northern Trust Bank of Florida is the Co-Trustee. Judge Kleinfeld receives income and has the power to invade principal subject to a standard. The trust was established pursuant to Judge Kleinfeld's [REDACTED] state plan, with his [REDACTED] as the beneficiaries. The descriptions of the assets controlled by the trust are listed in Part VII of the disclosure report, and are followed by a (Trust #1) designation.

In 2011 Person Reporting's [REDACTED] received compensation and royalties for articles written, research provided, or conferences attended from the University of Alaska

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Kleinfeld, Andrew J.

Date of Report

08/06/2012

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/ Andrew J. Kleinfeld**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544