

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 7/25/2019
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 01/01/2018 to 12/31/2018
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.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2018	ABA Members Retirement Program, no control
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. 2018	State of Alaska, Permanent Fund Dividend	\$1,600.00
2. 2018	Metropolitan Life Insurance Co. (lifetime annuity)	\$21,936.00
3. 2018	Prudential Life Insurance Co. (lifetime annuity)	\$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. 2018	State of Alaska - Permanent Fund Dividend
2. 2018	State of Alaska - Retirement
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.				
2.				
3.				
4.				
5.				

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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.

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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. Morgan Stanley - Money Mkt Account	A	Dividend	L	T					
2. Radio Shack Common Stock	A	Dividend	J	T					
3. DWS CROCI International Fund - A (Was Deutsche)	B	Dividend	L	T	Sold (part)	08/27/18	M	A	
4. Keogh Plan - Administered by ABA Stable Asset Return Fund	C	Int./Div.	M	T					
5. Keogh Plan - Administered by ABA Balanced Fund	F	Int./Div.			Closed	08/31/18	P1		
6. Keogh Plan - Administered by ABA Moderate Risk Fund	A	Int./Div.	P1	T	Open	08/31/18	P1		
7. Black Rock Total Return Fund	D	Dividend	M	T					
8. IRA Rollover Plan w/ Vanguard Tot Intl Stock Ix Admiral	A	Int./Div.	K	T					
9. IRA Rollover Plan w/ Vanguard Total Stock Mkt Ix Adm	E	Int./Div.	O	T					
10. 403(b) Plan w/ Vanguard Total Int'l Stock Ix Inv	A	Int./Div.	J	T					
11. 403(b) Plan w/ Vanguard Total Stock Mkt Ix Inv	A	Int./Div.	K	T					
12. Centurylink Common Stock	A	Dividend	J	T					
13. Am Elect Power Common Stock	D	Dividend	M	T					
14. Northrop Grumman, Common Stock	D	Dividend	O	T					
15. Denali State Bank Accounts	A	Interest	O	T					
16. MetLife Policyholder Trust (MetLife Stock)	A	Dividend	J	T					
17. Northern Income Equity Fund, NOIEX (Trust #1)	B	Dividend	L	T	Sold (part)	05/02/18	L	C	

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

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

P4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. TIAA-CREF Retirement Annuity TIAA Traditional	B	Int./Div.	M	T					
19. TIAA-CREF Retirement Annuity Cref Sock R2	C	Int./Div.	M	T					
20. Northern Money Mrt Account (Trust #1)	A	Interest	K	T					
21. Transamerica Whole Life Policy	B	Interest	K	T					
22. Transamerica Whole Life Policy	C	Interest	L	T					
23. Wells-Evergreen Money Market	A	Interest	J	T					
24. Fidelity Investments Deferred Comp Fid Balanced K	B	Interest			Distributed	12/31/18	K	A	
25. American Funds Euro Growth Fnd, AEPFX	A	Dividend	K	T					
26. First Eagle Sogen Fds, SGIIX	A	Dividend	K	T					
27. Growth Fnd America, GFFFX	B	Dividend	M	T					
28. Legg Mason Ptrs Equity Tr, SAGYX	A	Dividend	L	T					
29. Loomis Sayles Invst Fds Bond Fd, LBSRX	A	Dividend	K	T					
30. PIMCO FDS Pac Invst Mgmt Ser Total Return Fd Instl Cl, PTTRX	B	Dividend	K	T					
31. Davis NY Venture Fd Inc Cl Y, DNVYX	B	Dividend	M	T					
32. Vanguard index tr mid cap index fd admiral sh, VIMAX	C	Dividend	M	T					
33. MFO Vanguard Fixed Inc Secs, VIPSX (Trust #1)	A	Dividend	K	T					
34. MFC Ishares Tr MSCI Emerg Mks, EEM (Trust #1)	A	Dividend	K	T					

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35. MFB N Funds Stk Index Fd, NOSIX (Trust #1)	D	Dividend	N	T	Sold (part)	05/02/18	L	E	
36. Frontier Communications Common Stock	A	Dividend	J	T					
37. Huntington Ingalls Industries Stock	A	Dividend	J	T					
38. MCF Ishares S-TCorp bd etk, IGSB (was CSJ) (Trust 1)	B	Dividend	L	T					
39. MCF Shares TR MSCI EAFE ETF, EFA (Trust #1)	C	Dividend	L	T					
40. MCF Flexshr TR Morningstr Gbl Upstm Nat Res Indx Fd, GUNR (Trust #1)	A	Dividend	K	T					
41. MFB Northern FDS Global Real Estate Index Fd, NGREX (Trust #1)	B	Dividend	K	T					
42. MFB Northern Mid Cap Index Fd, NOMIX (Trust #1)	A	Dividend	K	T	Sold (part)	05/02/18	J	B	
43. MFB Northern Fds Small Cap Index Fd, NSIDX (Trust #1)	A	Dividend	K	T	Sold (part)	05/02/18	K	D	
44. MFC Flexshr Tr IBOX 3yr Target Duration Tips Index Fd, TDTT (Trust #1)	A	Dividend	J	T					
45. MCF Flexshr Tr Stoxx GLB Broad Infrastructure Index FD, NFRA	B	Dividend	K	T					
46. Brighthouse Financial, Inc.	A	Dividend	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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H2 = More than \$5,000,000

M = \$100,001 - \$250,000

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

Various stocks (including, but not limited to, Centurylink, American Electric, and Northrup Grumman, 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 other 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 parents' estate plan, with his children 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.

Part VII, line 25, American Funds Euro Growth Fnd AEPFX was incorrectly idetiuified as AEGFX on the 2017 FDR.

Part VII, Line 38, Name change: MCF Ishares S-T Corp bd etk (IGSB) was called MCF Shares Tr Barclays Fd (CSJ) on the 2017 FDR.

Part VII line 46, Brighthouse Financial Inc. was a spinoff from Met Life (Line 15) in 2017, but that was unknown at the time the 2017 FDR was prepared. The value of six shares is \$250.

Your programmers need to increase the size of the fonts as the report is difficult to read on normal size monitors.

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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/ 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