

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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 06/29/2009
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 01/01/2008 to 12/31/2008
7. Chambers or Office Address Courthouse Square 250 Cushman St., Suite 3-A Fairbanks, Alaska 99701	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

<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.)

DATE

PARTIES AND TERMS

1. 2008	ABA Members Retirement Program, no control
2.	
3.	

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 FINANCIAL
 DISCLOSURE OFFICE

Kleinfeld, Andrew J

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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. 2008	State of Alaska, Permanent Fund Dividend	\$3,269.00
2. 2008	Metropolitan Life Insurance Co. (Deferred Comp)	\$21,936.00
3. 2008	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. 2008	Self employed writer and educational consultant - See Part VIII
2. 2008	University of Alaska - Salary
3. 2008	State of Alaska - Permanent Fund Dividend
4. 2008	Bullock Award for Excellence - UAF Foundation

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.)*

<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 Month - Day	(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	B	Dividend	L	T					
2. Radio Shack common stock	A	Dividend	J	T					
3. (DWS) Scudder Investments-Int'l Global Funds	C	Dividend	L	T					
4. Keogh Plan - Administered by ABA	E	Dividend	O	T					
5. Black Rock Total Return Fund	D	Dividend	M	T					
6. 403(b) Plan w/ ING	C	Interest	M	T					
7. AT&T common stock	B	Dividend	K	T					
8. Qwest common stock	A	Dividend	J	T					
9. Am Elect Power common stock	C	Dividend	L	T					
10. Verizon common stock	A	Dividend	J	T					
11. Northrop Grumman, common stock	B	Dividend	L	T					
12. Denali State Bank Accounts	A	Interest	J	T					
13. Morgan Stanley Global Infrastructure (Trust #1)	B	Interest	K	T					Name change
14. U.S. Savings Bonds (Trust #1)	D	Interest	M	T					
15. Morgan Stanley US Govt Secutities Tr (Trust #1)	B	Interest	L	T					
16. Morgan Stanley Tax Exempt Sec Tr (Trust #1)	C	Interest	L	T					
17. Franklin Fed Tax Free Inc Fd (Trust #1)	D	Interest	M	T					

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

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☐ 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Franklin Tax Free Tr (Trust #1)	B	Dividend	K	T					
19. Met Life - Trust Interests	A	Dividend	J	T					
20. Northern Growth Equity Fund - (Trust #1)	B	Dividend	M	T					
21. Northern Income Equity Fund (Trust #1)	C	Dividend	L	T					
22. Northern Int'l Growth Equity Fund (Trust #1)	A	Dividend	K	T					
23. AIM Equity Cap Dev Funds	A	Dividend	K	T					
24. AIM Global Small & Mid Cap Groth Fd	B	Dividend	K	T					Name change
25. Davis NY Venture Fund	A	Dividend	K	T					
26. Allianz CCM Capital Apprec	B	Dividend	L	T					
27. Allianz OCC Target	B	Dividend	K	T					
28. TIAA-CREF Retirement Annuity	D	Int./Div.	M	T					
29. Davis Ser Inc Growth Opportunity	A	Dividend	J	T					
30. Evergreen Strategic Muni Bond Fnd	A	Interest	K	T					
31. Symetra-403(b)	D	Interest	N	T					
32. Northern Money Mrt Account (Trust #1)	A	Interest	L	T					
33. Transamerica Occidental Life	C	Interest	L	T					
34. Transamerica Occidental Life	B	Interest	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	
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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35. Ak State Housing Fin Corp	B	Interest	K	T					
36. Kitsap Cnty Wash GO	A	Interest	K	T					
37. Mat-Su GO	B	Interest	K	T					
38. Wachovia - Evergreen money market	A	Interest	J	T					
39. Fidelity Investments Deferred Comp	A	Interest	J	T					
40. First Trust Target Jan	A	Interest			Redeemed	4/3	K	A	
41. First Trust Target Feb	A	Interest			Redeemed	5/5	K	A	
42. First Trust Target Sept	B	Interest			Redeemed	12/3	K	A	
43. Fairpoint Communication, Inc stock	A	Dividend	J	T	Spinoff (from line 10)	3/31	J		
44. First Trust Target Dec 08	B	Interest	K	T	Buy	12/1	K		
45. First Trust Target May 08	A	Interest	K	T	Buy	5/1	K		
46. First Trust Target April 08	A	Interest	K	T	Buy	4/1	K		
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48.									
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Various stocks (including Qwest, American Electric, AT&T, Northrup Grumman, Fairpoint, and Verizon) accrue additional shares through dividend reinvestment programs.

Judge Kleinfeld (Person Reporting) is 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 beneficiaries are members of Judge Kleinfeld [REDACTED]. 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 2008 Person Reporting [REDACTED] received compensation for articles written, research services provided or conferences attended from the following entities: University of Alaska and the Fairbanks Daily News-Miner.

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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 _____

A large black rectangular redaction box covering the signature area.

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544