

AMENDED

**FINANCIAL DISCLOSURE REPORT**  
**FOR CALENDAR YEAR 2003**

AO-10 (WP)  
Rev. 1/2004

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)<br>KOZINSKI, ALEX                                                                |  | 2. Court or Organization<br>U.S. Court of Appeals, 9 <sup>th</sup> Cir.                                                                                                                                                   |  | 3. Date of Report<br>5/15/04                          |  |
| 4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br>Circuit Judge - Active |  | 5. Report Type (check appropriate type)<br>Nomination, Date _____<br>Initial <input checked="" type="checkbox"/> Annual _____ Final _____                                                                                 |  | 6. Reporting Period<br>01/01/2003<br>to<br>12/31/2003 |  |
| 7. Chambers or Office Address<br>125 S. Grand Avenue, Suite 200<br>Pasadena, CA 91105                                                   |  | 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.<br><br>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 Instructions.)

| POSITION                                                 | NAME OF ORGANIZATION/ENTITY |
|----------------------------------------------------------|-----------------------------|
| <input type="checkbox"/> NONE (No reportable positions.) |                             |
| 1 ALL LIMITED PARTNERSHIPS                               | REPORTED IN SECTION VI      |
| 2                                                        |                             |
| 3                                                        |                             |

**RECEIVED**  
 AUG 25 10 57 AM '04  
 FINANCIAL  
 DISCLOSURE OFFICE

**II. AGREEMENTS.** (Reporting individual only; see pp. 14-16 of Instructions.)

| DATE                                                                 | PARTIES AND TERMS |
|----------------------------------------------------------------------|-------------------|
| <input checked="" type="checkbox"/> NONE (No reportable agreements.) |                   |

II.

2

**III. NON-INVESTMENT INCOME.** (Reporting individual and spouse; see pp. 17-24 of Instructions.)

| DATE                                                                 | SOURCE AND TYPE                                  | GROSS INCOME |
|----------------------------------------------------------------------|--------------------------------------------------|--------------|
| <b>A. Filer's Non-Investment Income</b>                              |                                                  |              |
| <input type="checkbox"/> NONE (No reportable non-investment income.) |                                                  |              |
| 1 01/27                                                              | University of Calif. Santa Barbara - Lecture Fee | \$ 2,500     |
| 2 2/28-3/2                                                           | Stanford Law School - Lecture Fee                | \$ 5,000     |
| 3 4/23-4/24                                                          | Canisius College - Lecture Fee                   | \$ 4,000     |

**B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)**

☐ NONE (No reportable non-investment income.)

1 01/01-12/31 Self-employed as attorney

2

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## IV. REIMBURSEMENTS — transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

### SOURCE

### DESCRIPTION

☐ NONE (No such reportable reimbursements.)

|   |                                                |                   |                               |
|---|------------------------------------------------|-------------------|-------------------------------|
| 1 | Univ. of Calif. Santa Barbara                  | Jan. 27           | Travel & Lodging              |
| 2 | The Federalist Society - Berkeley CA           | Feb. 13           | Travel                        |
| 3 | The Federalist Society - South Bend, Ind.      | Feb. 21-23        | Travel & Lodging              |
| 4 | Stanford Law School                            | Feb. 28 - March 2 | Travel & Lodging              |
| 5 | Assoc. Of Ski Defense Lawyers - Snowbird, Utah | March 2-5         | Travel & Lodging (self & son) |
| 6 | NYU Law School                                 | April 13-15       | Travel & Lodging              |
| 7 | The Federalist Society - New York, NY          | April 15          | Travel & Lodging              |

## V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

### SOURCE

### DESCRIPTION

### VALUE

☒ NONE (No such reportable gifts.)

|   |  |   |
|---|--|---|
| 1 |  | S |
| 2 |  | S |
| 3 |  | S |
| 4 |  | S |

## VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

### CREDITOR

### DESCRIPTION

### VALUE CODE\*

☒ NONE (No reportable liabilities.)

|   |  |  |
|---|--|--|
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |

\*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000  
 N=\$250,001-\$500,000 O=\$500,001-\$1,000,000 P1=\$1,000,001-\$5,000,000  
 P2=\$5,000,001-\$25,000,000 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

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## VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

| A<br>Description of Assets<br>(including trust assets)<br><br><i>Place "(X)" after each asset<br/>exempt from prior disclosure</i> | B<br>Income during<br>reporting period |                                             | C<br>Gross value<br>at end of<br>reporting period |                                   | D<br>Transactions during reporting period              |                               |                                |                               |                                                                |
|------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|---------------------------------------------|---------------------------------------------------|-----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                                                                                    | (1)                                    | (2)                                         | (1)                                               | (2)                               | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                                                                                    | Am't<br>Code1<br>(A-H)                 | Type<br>(e.g.,<br>div.,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                           | Value<br>Method<br>Code3<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month-<br>Day | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| NONE (No reportable income,                                                                                                        |                                        |                                             |                                                   |                                   |                                                        |                               |                                |                               |                                                                |
| 1 [REDACTED] SHS. CON EDISON                                                                                                       | A                                      | Dividend                                    | K                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 2 [REDACTED] SHS. PUGET ENERGY                                                                                                     | A                                      | Dividend                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 3 RMA TAX FREE FUND, INC.                                                                                                          | A                                      | Interest                                    | K                                                 | T                                 | Buy                                                    | Var                           | J                              |                               |                                                                |
| 4 [REDACTED] IPA-UTA - BONDS                                                                                                       | A                                      | Interest                                    |                                                   |                                   | Sold                                                   | 7/01                          | K                              |                               |                                                                |
| 5 [REDACTED] SAN FRAN. BAY RPD                                                                                                     | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 6 [REDACTED] LA CO CA CTFB PRIS                                                                                                    | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 7 [REDACTED] CATS ACCR-TREAS                                                                                                       | A                                      | Interest                                    |                                                   |                                   | Sold                                                   | 11/17                         | J                              |                               |                                                                |
| 8 [REDACTED] REF CORP - BONDS                                                                                                      | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 9 [REDACTED] CATS SERV U-COUP                                                                                                      | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 10 [REDACTED] STRIPS-TINT                                                                                                          | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 11 [REDACTED] STRIPS-TINT                                                                                                          | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 12 [REDACTED] REF CORP - BONDS                                                                                                     | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 13 [REDACTED] REF CORP - BONDS                                                                                                     | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 14 [REDACTED] REF CORP - BONDS                                                                                                     | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 15 [REDACTED] REF CORP - BONDS                                                                                                     | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 16 [REDACTED] SHS SANMINA-SCI                                                                                                      | A                                      | Dividend                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |
| 17 [REDACTED] SHS. STANCO PR                                                                                                       | A                                      | Interest                                    | J                                                 | T                                 |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                             |                                                |                                                                                 |                                                      |                     |
|---|-----------------------------------------|-----------------------------------------------------------------------------|------------------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$50,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$250,001-\$1,000,000   | C=\$2,501-\$5,000<br>H1=\$1,000,001-\$5,000,000                                 | D=\$5,001-\$15,000<br>H2=More than \$5,000,000       | E=\$15,001-\$50,000 |
| 2 | Value Codes:<br>(See Col. C1, D3)       | I=\$15,000 or less<br>N=\$250,001-\$500,000<br>P=\$250,000,001-\$50,000,000 | J=\$15,001-\$50,000<br>O=\$500,001-\$1,000,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>P4=More than \$50,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                     |
| 3 | Value Method Codes:<br>(See Col. C2)    | Q=Appraisal<br>V=Book value                                                 | R=Cost (real estate only)<br>W=Other           | S=Assessment<br>X=Estimated                                                     | T=Cash/Market                                        |                     |

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Name of Person Reporting

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## VII. Page 2 INVESTMENTS and TRUSTS — income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

| A.<br>Description of Assets<br>(including trust assets)                       | B.<br>Income during reporting period |                                             | C.<br>Gross value at end of reporting period |                                  | D.<br>Transactions during reporting period             |                               |                                |                               |                                                                |
|-------------------------------------------------------------------------------|--------------------------------------|---------------------------------------------|----------------------------------------------|----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                               | (1)                                  | (2)                                         | (1)                                          | (2)                              | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                               | Am't.<br>Code1<br>(A-H)              | Type<br>(e.g.,<br>div.,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                      | Value<br>Method<br>Code<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month-<br>Day | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions) |                                      |                                             |                                              |                                  |                                                        |                               |                                |                               |                                                                |
| 18 DREYFUS MUNI MONEY MARKET FUND                                             | E                                    | Interest                                    | N                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 19 SHS WILLIAM BLAIR GROWTH FUND                                              | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 20 SHS COCA COLA                                                              | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 21 SHS FIDELITY DEVONSHIRE FUND                                               | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 22 SHS FIDELITY EQUITY INCOME FUND                                            | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 23 SHS FIDELITY EQUITY INCOME II FUND                                         | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 24 SHS FIDELITY LOW PRICED STOCK FUND                                         | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 25 SHS SCUDDER GOWTH & INCOME FUND                                            | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 26 SHS JANUS WORLDWIDE FUND                                                   | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 27 SHS LONGLEAF PARTNERS FUND                                                 | B                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 28 SHS MANAGERS INT'L EQUITY FUND                                             | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 29 SHS WELLS FARGO FNDS MONTCOMERY EMERGING                                   | A                                    | Dividend                                    | J                                            | T                                | Conversion                                             | 05/03                         |                                |                               |                                                                |
| 30 SHS WHITE OAK GROWTH FUND                                                  | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 31 SHS ROYCE PENN MUTUAL FUND                                                 | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 32 SHS STRON HIGH YIELD FUND                                                  | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |
| 33 SHS TORRAY FUND                                                            | A                                    | Dividend                                    | J                                            | T                                |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                             |                                                                            |                                                                                |                                                      |                                             |
|---|-----------------------------------------|-----------------------------------------------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------|------------------------------------------------------|---------------------------------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$50,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$100,001-\$1,000,000                               | C=\$2,501-\$5,000<br>H=\$1,000,001-\$5,000,000                                 | D=\$5,001-\$15,000<br>I=\$15,001-\$50,000            | E=\$15,001-\$50,000<br>J=\$50,001-\$100,000 |
| 2 | Value Codes:<br>(See Col. C1, D5)       | J=\$15,000 or less<br>N=\$250,001-\$500,000<br>P2=\$25,000,001-\$50,000,000 | K=\$15,001-\$50,000<br>O=\$50,001-\$1,000,000<br>Q=\$1,000,001-\$1,000,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>R=more than \$50,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                                             |
| 3 | Value Method Codes:<br>(See Col. C2)    | O=Appraisal<br>I=Book value                                                 | R=Cash (real estate only)<br>V=Other                                       | S=Assessment<br>W=Estimated                                                    | T=Cash/Market                                        |                                             |

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| A<br>Description of Assets<br>(including trust assets)<br><br><i>Place "(X)" after each asset<br/>exempt from prior disclosure.</i> | B<br>Income during<br>reporting period |                                            | C<br>Gross value<br>at end of<br>reporting period |                                  | D<br>Transactions during reporting period              |                               |                                |                               |                                                                |
|-------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|--------------------------------------------|---------------------------------------------------|----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                                                                                     | (1)                                    | (2)                                        | (1)                                               | (2)                              | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                                                                                     | Amt.<br>Code1<br>(A-H)                 | Type<br>(e.g.,<br>div,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                           | Value<br>Method<br>Code<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date<br>Month-<br>Day  | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| <input type="checkbox"/> NONE (No reportable income,<br>assets, or transactions)                                                    |                                        |                                            |                                                   |                                  |                                                        |                               |                                |                               |                                                                |
| 34 INDIVIDUAL RETIREMENT<br>ACCOUNTS:                                                                                               |                                        |                                            |                                                   |                                  |                                                        |                               |                                |                               |                                                                |
| 35 SHS AT&T CORP                                                                                                                    | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 36 SHS COMCAST                                                                                                                      | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 37 SHS AT&T WIRELESS SVCS                                                                                                           | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 38 SHS CHEVRONTXACO<br>CORP                                                                                                         | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 39 SHS GENERAL MOTORS                                                                                                               | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 40 SHS DELPHI AUTOMOTIVE                                                                                                            | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 41 CTF ACCR. TREAS                                                                                                                  | B                                      | Interest                                   | K                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 42 SCHWAB MONEY MARKET<br>FUND                                                                                                      | A                                      | Interest                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 43 SHS GOODYEAR TIRE                                                                                                                | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 44 SHS 3M                                                                                                                           | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 45 CTF ACCR. TREAS                                                                                                                  | B                                      | Interest                                   | K                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 46 (PTR) HISTORIC PRE. PROP.                                                                                                        | A                                      | Interest                                   | J                                                 | U                                |                                                        |                               |                                |                               |                                                                |
| 47 (PTR) WINGATE HSG. II                                                                                                            | A                                      | Interest                                   | J                                                 | U                                |                                                        |                               |                                |                               |                                                                |
| 48 SEP. TRDG. REG.                                                                                                                  | A                                      | Interest                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 49 SCHWAB MONEY MARKET<br>FUND                                                                                                      | A                                      | Interest                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                      |                                                                         |                                                                                |                                                      |                     |
|---|-----------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>P=\$50,001-\$100,000                            | B=\$1,001-\$1,500<br>Q=\$100,001-\$1,000,000                            | C=\$1,501-\$5,000<br>H1=\$1,000,001-\$5,000,000                                | D=\$5,001-\$15,000<br>H2=More than \$5,000,000       | E=\$15,001-\$50,000 |
| 2 | Value Codes:<br>(See Col. C1, D3)       | J=\$15,000 or less<br>N=\$250,001-\$500,000<br>P=\$250,001-\$500,000 | K=\$15,001-\$50,000<br>O=\$500,001-\$1,000,000<br>R=\$250,001-\$500,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>P4=More than \$5,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                     |
| 3 | Value Method Code:<br>(See Col. C2)     | Q=Appraisal<br>(U=Book value)                                        | R=Cash (from estate only)<br>V=Other                                    | S=Assessment<br>W=Estimated                                                    | T=Cash/Market                                        |                     |

# FINANCIAL DISCLOSURE REPORT

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Date of Report

5/15/04

## VII. Page 4 INVESTMENTS and TRUSTS – income, value, transactions *(Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)*

| A.<br>Description of Assets<br>(including trust assets)<br><br><i>Place "(X)" after each asset<br/>exempt from prior disclosure.</i> | B.<br>Income<br>during<br>reporting period |                                             | C.<br>Gross value<br>at end of<br>reporting period |                                  | D.<br>Transactions during reporting period             |                               |                                |                               |                                                                |
|--------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|---------------------------------------------|----------------------------------------------------|----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                                                                                      | (1)                                        | (2)                                         | (1)                                                | (2)                              | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                                                                                      | Amt.<br>Code1<br>(A-H)                     | Type<br>(e.g.,<br>div.,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                            | Value<br>Method<br>Code<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month-<br>Day | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| <input type="checkbox"/> NONE (No reportable income,<br>assets, or transactions)                                                     |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 50                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 51                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 53                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 52                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 53                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 54                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 53                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 54                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 55                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 56                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 57                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 58                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 59                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 60                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 61                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 62                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                             |                                                |                                                                                 |                                                      |                     |
|---|-----------------------------------------|-----------------------------------------------------------------------------|------------------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$50,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$100,001-\$1,000,000   | C=\$2,501-\$5,000<br>H1=\$1,000,001-\$5,000,000                                 | D=\$5,001-\$15,000<br>H2=More than \$5,000,000       | E=\$15,001-\$50,000 |
| 2 | Value Codes:<br>(See Col. C1, D2)       | J=\$15,000 or less<br>N=\$250,001-\$500,000<br>P=\$250,000,001-\$50,000,000 | K=\$15,001-\$50,000<br>O=\$500,001-\$1,000,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>P4=More than \$50,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                     |
| 3 | Value Method Codes:<br>(See Col. C2)    | Q=Appraisal<br>U=Book value                                                 | R=Cost/Real estate only<br>V=Other             | S=Assessment<br>W=Estimated                                                     | T=Cost/Market                                        |                     |

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

## VII. Page 5 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-37 of instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br><i>Place "(X)" after each asset<br/>exempt from prior disclosure.</i> | B.<br>Income<br>during<br>reporting period |                                             | C.<br>Gross value<br>at end of<br>reporting period |                                  | D.<br>Transactions during reporting period             |                               |                                |                               |                                                                |
|--------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|---------------------------------------------|----------------------------------------------------|----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                                                                                      | (1)                                        | (2)                                         | (1)                                                | (2)                              | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                                                                                      | Amt.<br>Code1<br>(A-H)                     | Type<br>(e.g.,<br>div.,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                            | Value<br>Method<br>Code<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month-<br>Day | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| <input type="checkbox"/> NONE (No reportable income,<br>assets, or transactions)                                                     |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 63                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 64                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 65                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 66                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 67                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 68                                                                                                                                   |                                            |                                             |                                                    |                                  |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                             |                                                |                                                                                |                                                      |                     |
|---|-----------------------------------------|-----------------------------------------------------------------------------|------------------------------------------------|--------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$30,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$100,001-\$1,000,000   | C=\$2,501-\$5,000<br>H1=\$1,000,001-\$5,000,000                                | D=\$5,001-\$15,000<br>H2=More than \$5,000,000       | E=\$15,001-\$50,000 |
| 2 | Value Codes:<br>(See Col. C1, D3)       | J=\$15,000 or less<br>N=\$125,001-\$500,000<br>P=\$525,000,001-\$50,000,000 | K=\$15,001-\$50,000<br>O=\$500,001-\$1,000,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>P2=More than \$5,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                     |
| 3 | Value Method Codes:<br>(See Col. C2)    | Q=Appraisal<br>U=Book value                                                 | R=Cost (real estate only)<br>V=Other           | S=Assessment<br>W=Estimated                                                    | T=Cash/Market                                        |                     |

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)****Part III.**

06/17 San Francisco Inns of Court-Honorarium Donated Directly to UCLA \$ 500  
9/14-9/16 Hofstra Law School - lecture fee \$3,000  
9/30 Kroll Ontrack - lecture fee \$1,500

**Part IV.**

April 15 - The Federalist Society - Hartford, Ct. / Travel & Lodging  
April 23-24 - Canisius College-Buffalo, NY / Travel & Lodging  
May 16-18 - Calif. Acad. App. Lwys-Monterey, CA / Travel & Lodging (self [REDACTED])  
June 13 - Arizona State Bar-Phoenix, Ariz. / Travel & Lodging  
Sept. 14-16 - Hofstra Law School - Hempstead, NY/Travel & Lodging  
Sept. 30 - Kroll Ontrack / Mileage  
Oct. 14-16 - Fred Friendly Sem. -SF, CA  
Oct. 17-19 - ABTL Annual Seminar - Santa Ana Pueblo, N.M./ Travel & lodging for self [REDACTED]  
Nov. 13-15 - The Federalist Soc., Wash. DC./ Travel & Lodging  
Nov. 16-18 - The Federalist Soc., Chicago, ILL/ Travel & Lodging  
Nov. 18 - Boston Univ. School of Law, Boston, Mass./ Travel

**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

Date

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

# FINANCIAL DISCLOSURE REPORT

## FOR CALENDAR YEAR 2003

Report Required by the Ethics  
in Government Act of 1978,  
(5 U.S.C. App. §5101-111)

|                                                                                                                                         |  |                                                                                                                                                                                                                           |  |                                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-------------------------------------------------------|
| 1. Person Reporting (Last name, first, middle initial)<br>KOZINSKI, ALEX                                                                |  | 2. Court or Organization<br>U.S. Court of Appeals, 9 <sup>th</sup> Cir.                                                                                                                                                   |  | 3. Date of Report<br>5/15/04                          |
| 4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br>Circuit Judge - Active |  | 5. Report Type (check appropriate type)<br>____ Nomination, Date _____<br>____ Initial <input checked="" type="checkbox"/> Annual ____ Final                                                                              |  | 6. Reporting Period<br>01/01/2002<br>to<br>12/31/2002 |
| 7. Chambers or Office Address<br>125 S. Grand Avenue, Suite 200<br>Pasadena, CA 91105                                                   |  | 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.<br><br>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 Instructions.)

| POSITION                                                 | NAME OF ORGANIZATION/ENTITY |
|----------------------------------------------------------|-----------------------------|
| <input type="checkbox"/> NONE (No reportable positions.) |                             |
| 1. ALL LIMITED PARTNERSHIPS                              | REPORTED IN SECTION VII     |
| 2.                                                       |                             |
| 3.                                                       |                             |

### II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

| DATE                                                                 | PARTIES AND TERMS |
|----------------------------------------------------------------------|-------------------|
| <input checked="" type="checkbox"/> NONE (No reportable agreements.) |                   |

II.

### III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

| DATE                                                                 | SOURCE AND TYPE                    | GROSS INCOME |
|----------------------------------------------------------------------|------------------------------------|--------------|
| <b>A. Filer's Non-Investment Income</b>                              |                                    |              |
| <input type="checkbox"/> NONE (No reportable non-investment income.) |                                    |              |
| 1. 01/27                                                             | University of Calif. Santa Barbara | \$ 2,500     |
| 2. 2/28-3/2                                                          | Stanford Law School                | \$ 5,000     |
| 3. 4/23-4/24                                                         | Canisius College                   | \$ 4,000     |

### B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

|                                                                      |                           |
|----------------------------------------------------------------------|---------------------------|
| <input type="checkbox"/> NONE (No reportable non-investment income.) |                           |
| 1. 01/01-12/31                                                       | Self-employed as attorney |
| 2.                                                                   |                           |

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 FINANCIAL  
 DISCLOSURE OFFICE

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCEDESCRIPTION☐ NONE (No such reportable reimbursements.)

|   |                                                |                               |
|---|------------------------------------------------|-------------------------------|
| 1 | Univ. of Calif. Santa Barbara                  | Travel & Lodging              |
| 2 | The Federalist Society - Berkeley CA           | Travel                        |
| 3 | The Federalist Society - South Bend, Ind.      | Travel & Lodging              |
| 4 | Stanford Law School                            | Travel & Lodging              |
| 5 | Assoc. Of Ski Defense Lawyers - Snowbird, Utah | Travel & Lodging (self & son) |
| 6 | NYU Law School                                 | Travel & Lodging              |
| 7 | The Federalist Society - New York, NY          | Travel & Lodging              |

**V. GIFTS.** (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)SOURCEDESCRIPTIONVALUE☐ NONE (No such reportable gifts.)

|   |  |    |
|---|--|----|
| 1 |  | \$ |
| 2 |  | \$ |
| 3 |  | \$ |
| 4 |  | \$ |

**VI. LIABILITIES.** (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)CREDITORDESCRIPTIONVALUE CODE\*☐ NONE (No reportable liabilities.)

|   |  |  |
|---|--|--|
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |

\*Value Codes: J=\$15,000 or less

K=\$15,001-\$50,000

L=\$50,001-\$100,000

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

N=\$250,001-\$500,000

O=\$500,001-\$1,000,000

P1=\$1,000,001-\$5,000,000

P2=\$5,000,001-\$25,000,000

P3=\$25,000,001-\$50,000,000

P4=\$50,000,001 or more

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

## VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

| A<br>Description of Assets<br>(including trust assets)<br><br><i>Place "(X)" after each asset<br/>exempt from prior disclosure</i> | B<br>Income during<br>reporting period |                                            | C<br>Gross value at end of<br>reporting period |                                   | D<br>Transactions during reporting period              |                               |                                |                               |                                                                |
|------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|--------------------------------------------|------------------------------------------------|-----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                                                                                    | (1)                                    | (2)                                        | (1)                                            | (2)                               | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                                                                                    | Am't<br>Code1<br>(A-I)                 | Type<br>(e.g.,<br>div,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                        | Value<br>Method<br>Code3<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month-<br>Day | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| <input type="checkbox"/> NONE (No reportable income,                                                                               |                                        |                                            |                                                |                                   |                                                        |                               |                                |                               |                                                                |
| 1 <input type="checkbox"/> SHS. CON EDISON                                                                                         | A                                      | Dividend                                   | K                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 2 <input type="checkbox"/> SHS. PUGET ENERGY                                                                                       | A                                      | Dividend                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 3 <input type="checkbox"/> RMA TAX FREE FUND, INC.                                                                                 | A                                      | Interest                                   | K                                              | T                                 | Buy                                                    | Var                           | J                              |                               |                                                                |
| 4 <input type="checkbox"/> IPA-UTA - BONDS                                                                                         | A                                      | Interest                                   | K                                              | T                                 | Sold                                                   | 7/01                          | K                              |                               |                                                                |
| 5 <input type="checkbox"/> SAN FRAN. BAY RPD                                                                                       | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 6 <input type="checkbox"/> LA CO CA CTFS PRTS                                                                                      | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 7 <input type="checkbox"/> CATS ACCR-TREAS                                                                                         | A                                      | Interest                                   | J                                              | T                                 | Sold                                                   | 11/17                         | J                              |                               |                                                                |
| 8 <input type="checkbox"/> REF CORP - BONDS                                                                                        | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 9 <input type="checkbox"/> CATS SERV U-COUP                                                                                        | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 10 <input type="checkbox"/> STRIPS-TINT                                                                                            | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 11 <input type="checkbox"/> STRIPS-TINT                                                                                            | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 12 <input type="checkbox"/> REF CORP - BONDS                                                                                       | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 13 <input type="checkbox"/> REF CORP - BONDS                                                                                       | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 14 <input type="checkbox"/> REF CORP - BONDS                                                                                       | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 15 <input type="checkbox"/> REF CORP - BONDS                                                                                       | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 16 <input type="checkbox"/> SHS SANMINA-SCI                                                                                        | A                                      | Dividend                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |
| 17 <input type="checkbox"/> SHS. STANCOPR                                                                                          | A                                      | Interest                                   | J                                              | T                                 |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                             |                                               |                                                                                |                                                      |                     |
|---|-----------------------------------------|-----------------------------------------------------------------------------|-----------------------------------------------|--------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$50,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$100,001-\$1,000,000  | C=\$2,501-\$5,000<br>H=\$1,000,001-\$5,000,000                                 | D=\$5,001-\$15,000<br>H2=More than \$5,000,000       | E=\$15,001-\$50,000 |
| 2 | Value Codes:<br>(See Col. C1, D3)       | J=\$15,000 or less<br>N=\$250,001-\$500,000<br>P3=\$25,000,001-\$50,000,000 | K=\$15,001-\$50,000<br>O=\$50,001-\$1,000,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>P4=More than \$5,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                     |
| 3 | Value Method Codes:<br>(See Col. C2)    | O=Appraisal<br>U=Book value                                                 | R=Cost (real estate only)<br>V=Other          | S=Assessment<br>W=Estimated                                                    | T=Cash/Market                                        |                     |

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

## VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of instructions.)

|    | A<br>Description of Assets<br>(including trust assets)<br><br><i>Place "EX" after each asset<br/>exempt from prior disclosure</i> | B<br>Income during<br>reporting period |                                            | C<br>Gross value<br>at end of<br>reporting period |                                  | D<br>Transactions during reporting period              |                               |                                |                               |                                                                |
|----|-----------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|--------------------------------------------|---------------------------------------------------|----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|    |                                                                                                                                   | (1)                                    | (2)                                        | (1)                                               | (2)                              | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|    |                                                                                                                                   | Am't<br>Code1<br>(A-H)                 | Type<br>(e.g.,<br>div,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                           | Value<br>Method<br>Code<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date<br>Month-<br>Day  | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
|    | NONE (No reportable income, assets, or transactions)                                                                              |                                        |                                            |                                                   |                                  |                                                        |                               |                                |                               |                                                                |
| 18 | DREYFUS MUNI MONEY MARKET FUND                                                                                                    | E                                      | Interest                                   | N                                                 | T                                | Buy/Sell                                               | Var                           | N                              |                               |                                                                |
| 19 | SHS WILLIAM BLAIR GROWTH FUND                                                                                                     | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 20 | SHS COCA COLA                                                                                                                     | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 21 | SHS FIDELITY DEVONSHIRE FUND                                                                                                      | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 22 | SHS FIDELITY EQUITY INCOME FUND                                                                                                   | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 23 | SHS FIDELITY EQUITY INCOME II FUND                                                                                                | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 24 | SHS FIDELITY LOW PRICED ST CK FUND                                                                                                | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 25 | SHS SCUDDER GOWTH & INCOME FUND                                                                                                   | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 26 | SHS JANUS WORLDWIDE FUND                                                                                                          | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 27 | SHS LONGLEAF PARTNERS FUND                                                                                                        | B                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 28 | SHS MANAGERS INT'L EQUITY FUND                                                                                                    | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 29 | SHS WELLS FARGO FNDS MONTCOMERY EMERGING                                                                                          | A                                      | Dividend                                   | J                                                 | T                                | Conversion                                             | 05/03                         |                                |                               |                                                                |
| 30 | SHS WHITE OAK GROWTH FUND                                                                                                         | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 31 | SHS ROYCE PENN MUTUAL FUND                                                                                                        | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 32 | SHS STRON HIGH YIELD FUND                                                                                                         | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |
| 33 | SHS TORRAY FUND                                                                                                                   | A                                      | Dividend                                   | J                                                 | T                                |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                             |                                                                      |                                                                                 |                                                                           |                                                                                        |                                                                                              |                                                                           |                                                                                        |
|---|-----------------------------------------|-----------------------------------------------------------------------------|----------------------------------------------------------------------|---------------------------------------------------------------------------------|---------------------------------------------------------------------------|----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$50,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$100,001-\$1,000,000                         | C=\$2,501-\$5,000<br>H=\$1,000,001-\$5,000,000                                  | D=\$5,001-\$15,000<br>I=\$15,001-\$50,000                                 | E=\$50,001-\$100,000<br>F=\$100,001-\$250,000                                          | F=\$250,001-\$500,000<br>G=\$500,001-\$1,000,000                                             | H=\$1,000,001-\$5,000,000<br>I=\$5,000,001-\$25,000,000                   | J=\$25,000,001-\$50,000,000<br>K=\$50,000,001-\$100,000,000                            |
| 2 | Value Codes:<br>(See Col. C1, D3)       | J=\$15,000 or less<br>N=\$250,001-\$500,000<br>P=\$250,000,001-\$50,000,000 | K=\$15,001-\$50,000<br>O=\$50,001-\$100,000<br>Q=\$100,001-\$250,000 | L=\$50,001-\$100,000<br>P=\$1,000,001-\$5,000,000<br>R=\$5,000,001-\$25,000,000 | M=\$100,001-\$250,000<br>P=\$250,001-\$500,000<br>S=\$500,001-\$1,000,000 | N=\$1,000,001-\$5,000,000<br>T=\$5,000,001-\$25,000,000<br>U=\$25,000,001-\$50,000,000 | O=\$25,000,001-\$50,000,000<br>V=\$50,000,001-\$100,000,000<br>W=\$100,000,001-\$250,000,000 | P=\$100,001-\$250,000<br>Q=\$250,001-\$500,000<br>R=\$500,001-\$1,000,000 | Q=\$1,000,001-\$5,000,000<br>S=\$5,000,001-\$25,000,000<br>T=\$25,000,001-\$50,000,000 |
| 3 | Value Method Codes:<br>(See Col. C2)    | C=Appraisal<br>U=Book value                                                 | R=Cost (real estate only)<br>V=Other                                 | S=Assessment<br>W=Estimated                                                     | T=Cash/Market                                                             |                                                                                        |                                                                                              |                                                                           |                                                                                        |

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

## VII. Page 3 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

| A.<br>Description of Assets<br>(including trust assets)                       | B.<br>Income during reporting period |                                           | C.<br>Gross value at end of reporting period |                                    | D.<br>Transactions during reporting period            |                               |                          |                         |                                                          |
|-------------------------------------------------------------------------------|--------------------------------------|-------------------------------------------|----------------------------------------------|------------------------------------|-------------------------------------------------------|-------------------------------|--------------------------|-------------------------|----------------------------------------------------------|
|                                                                               | (1)<br><br>Amt. Code1 (A-H)          | (2)<br><br>Type (e.g., div., rent or mt.) | (1)<br><br>Value Code2 (J-P)                 | (2)<br><br>Value Method Code (Q-W) | (1)<br><br>Type (e.g., buy, sell, merger, redemption) | If not exempt from disclosure |                          |                         |                                                          |
|                                                                               |                                      |                                           |                                              |                                    |                                                       | (2)<br>Date: Month-Day        | (3)<br>Value Code2 (J-P) | (4)<br>Gain Code1 (A-H) | (5)<br>Identity of buyer/seller (if private transaction) |
| Place "X" after each asset exempt from prior disclosure                       |                                      |                                           |                                              |                                    |                                                       |                               |                          |                         |                                                          |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions) |                                      |                                           |                                              |                                    |                                                       |                               |                          |                         |                                                          |
| 34 INDIVIDUAL RETIREMENT ACCOUNTS:                                            |                                      |                                           |                                              |                                    |                                                       |                               |                          |                         |                                                          |
| 35 SHS AT&T CORP                                                              | A                                    | Dividend                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 36 SHS COMCAST                                                                | A                                    | Dividend                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 37 SHS AT&T WIRELESS SVCS                                                     | A                                    | Dividend                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 38 SHS CHEVRON TEXACO CORP                                                    | A                                    | Dividend                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 39 SHS GENERAL MOTORS                                                         | A                                    | Dividend                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 40 SHS DAIHATSU AUTOMOTIVE                                                    | A                                    | Dividend                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 41 CTF ACCR. TREAS                                                            | B                                    | Interest                                  | K                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 42 MONEY MARKET FUND                                                          | A                                    | Interest                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 43 SHS GOODYEAR TIRE                                                          | A                                    | Dividend                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 44 SHS 3M                                                                     | A                                    | Dividend                                  | J                                            | T                                  | Stock Split                                           | 09/29                         |                          |                         |                                                          |
| 45 CTF ACCR. TREAS                                                            | B                                    | Interest                                  | K                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 46 (PTR) HISTORIC PRE. PROP.                                                  | A                                    | Interest                                  | J                                            | U                                  |                                                       |                               |                          |                         |                                                          |
| 47 (PTR) WINGATE HSG. II                                                      | A                                    | Interest                                  | J                                            | U                                  |                                                       |                               |                          |                         |                                                          |
| 48 SEP. TRDG. REG.                                                            | A                                    | Interest                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |
| 49 MONEY MARKET FUND                                                          | A                                    | Interest                                  | J                                            | T                                  |                                                       |                               |                          |                         |                                                          |

|   |                                         |                                                                             |                                                |                                                                                 |                                                      |                     |
|---|-----------------------------------------|-----------------------------------------------------------------------------|------------------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$50,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$100,001-\$1,000,000   | C=\$2,501-\$5,000<br>H=\$1,000,001-\$5,000,000                                  | D=\$5,001-\$15,000<br>H2=More than \$5,000,000       | E=\$15,001-\$50,000 |
| 2 | Value Codes:<br>(See Col. C1, D3)       | J=\$15,000 or less<br>N=\$250,001-\$500,000<br>P3=\$25,000,001-\$50,000,000 | K=\$15,001-\$50,000<br>O=\$500,001-\$1,000,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>P4=More than \$50,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                     |
| 3 | Value Method Codes:<br>(See Col. C2)    | Q=Appraisal<br>U=Book value                                                 | R=Cost (real estate only)<br>V=Other           | S=Assessment<br>W=Estimated                                                     | T=Cash/Market                                        |                     |

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

## VII. Page 4 INVESTMENTS and TRUSTS -- income, value, transactions *(Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)*

| A.<br>Description of Assets<br>(including trust assets)<br><br><i>Place "X" after each asset<br/>exempt from prior disclosure.</i> | B.<br>Income<br>during<br>reporting period |                                            | C.<br>Gross value<br>at end of<br>reporting period |                                  | D.<br>Transactions during reporting period             |                               |                                |                               |                                                                |
|------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|--------------------------------------------|----------------------------------------------------|----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                                                                                    | (1)                                        | (2)                                        | (1)                                                | (2)                              | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                                                                                    | Am't<br>Code1<br>(A-H)                     | Type<br>e.g.,<br>div.,<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                            | Value<br>Method<br>Code<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date<br>Month-<br>Day  | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| <input type="checkbox"/> NONE (No reportable income,<br>assets, or transactions)                                                   |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 50                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 51                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 53                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 52                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 53                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 54                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 53                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 54                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 55                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 56                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 57                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 58                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 59                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 60                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 61                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 62                                                                                                                                 |                                            |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |

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

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

## VII. Page 5 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br><i>Place "(X)" after each asset<br/>exempt from prior disclosure.</i> | B.<br>Income during<br>reporting period |                                            | C.<br>Gross value<br>at end of<br>reporting period |                                  | D.<br>Transactions during reporting period             |                               |                                |                               |                                                                |
|--------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|--------------------------------------------|----------------------------------------------------|----------------------------------|--------------------------------------------------------|-------------------------------|--------------------------------|-------------------------------|----------------------------------------------------------------|
|                                                                                                                                      | (1)                                     | (2)                                        | (1)                                                | (2)                              | (1)                                                    | If not exempt from disclosure |                                |                               |                                                                |
|                                                                                                                                      | Amt.<br>Code1<br>(A-H)                  | Type<br>(e.g.,<br>div.<br>rent or<br>int.) | Value<br>Code2<br>(J-P)                            | Value<br>Method<br>Code<br>(Q-W) | Type<br>(e.g.,<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month-<br>Day | (3)<br>Value<br>Code2<br>(J-P) | (4)<br>Gain<br>Code1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private transaction) |
| <input type="checkbox"/> <b>NONE</b> (No reportable income,<br>assets, or transactions)                                              |                                         |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 63                                                                                                                                   |                                         |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 64                                                                                                                                   |                                         |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 65                                                                                                                                   |                                         |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 66                                                                                                                                   |                                         |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 67                                                                                                                                   |                                         |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |
| 68                                                                                                                                   |                                         |                                            |                                                    |                                  |                                                        |                               |                                |                               |                                                                |

|   |                                         |                                                                             |                                                |                                                                                 |                                                      |                     |
|---|-----------------------------------------|-----------------------------------------------------------------------------|------------------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------|---------------------|
| 1 | Income/Gain Codes:<br>(See Col. B1, D4) | A=\$1,000 or less<br>F=\$50,001-\$100,000                                   | B=\$1,001-\$2,500<br>G=\$100,001-\$1,000,000   | C=\$2,501-\$5,000<br>H=\$5,001-\$15,000<br>I=\$15,001-\$50,000                  | D=\$5,001-\$15,000<br>H2=More than \$5,000,000       | E=\$15,001-\$50,000 |
| 2 | Value Codes:<br>(See Col. C1, D3)       | J=\$15,000 or less<br>N=\$250,001-\$500,000<br>P3=\$25,000,001-\$50,000,000 | K=\$15,001-\$50,000<br>O=\$500,001-\$1,000,000 | L=\$50,001-\$100,000<br>P1=\$1,000,001-\$5,000,000<br>P4=More than \$50,000,000 | M=\$100,001-\$250,000<br>P2=\$5,000,001-\$25,000,000 |                     |
| 3 | Value Method Codes:<br>(See Col. C2)    | Q=Appraisal<br>U=Book value                                                 | R=Cost (real estate only)<br>V=Other           | S=Assessment<br>W=Estimated                                                     | T=Cash/Market                                        |                     |

## FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

KOZINSKI, ALEX

Date of Report

5/15/04

## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

## Part III.

|           |                                                                 |         |
|-----------|-----------------------------------------------------------------|---------|
| 06/17     | San Francisco Inns of Court-Honorarium Donated Directly to UCLA | \$ 500  |
| 9/14-9/16 | Hofstra Law School                                              | \$3,000 |
| 9/30      | Kroll Ontrack                                                   | \$1,500 |

## Part IV.

|                                            |                               |                                  |                                  |
|--------------------------------------------|-------------------------------|----------------------------------|----------------------------------|
| The Federalist Society - Hartford, Ct.     | Travel & Lodging              | Kroll Ontrack                    | Mileage                          |
| Canisius College-Buffalo, NY               | Travel & Lodging              | Fred Friendly Sem. -SF, CA       | Travel                           |
| Calif. Acad. App. Lwys-Monterey, CA        | Travel & Lodging (self & son) | ABTL - NM                        | Travel & Lodging (self & spouse) |
| Arizona State Bar-Phoenix, Ariz.           | Travel & Lodging              | The Federalist Soc. Wash. DC.    | Travel & Lodging                 |
| Hofstra Law School - Hempstead, NY         | Travel & Lodging              | The Federalist Soc. Chicago, ILL | Travel & Lodging                 |
| Boston Univ. School of Law - Boston, Mass. | Travel                        |                                  |                                  |

## 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

Date

5/12/04

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