

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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

1. Person Reporting (last name, first, middle initial) Kleinfeld, Andrew J.	2. Court or Organization Ninth Circuit	3. Date of Report 07/8/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address Courthouse Square 250 Cushman St. Suite 3-A Fairbanks, Alaska 99701	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	Trust #1
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2010	ABA Members Retirement Program, no control
2.	
3.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2010	State of Alaska, Permanent Fund Dividend	\$1,281.00
2. 2010	Metropolitan Life Insurance Co. (Deferred Comp)	\$21,936.00
3. 2010	Prudential Life Insurance Co. (Deferred Comp)	\$20,652.00
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2010	Self employed writer and educational consultant - See Part VIII
2. 2010	University of Alaska - Salary
3. 2010	State of Alaska - Permanent Fund Dividend
4. 2010	State of Alaska - Retirement

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

1.

2.

3.

4.

5.

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

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Morgan Stanley - Money Mkt Account	A	Dividend	L	T					
2. Radio Shack Common Stock	A	Dividend	J	T					
3. DWS Funds	C	Dividend	M	T					
4. Keogh Plan - Administered by ABA	G	Int./Div.	PI	T					
5. Black Rock Total Return Fund	D	Dividend	M	T					
6. 403(b) Plan w/ ING (now Vanguard)	F	Int./Div.	N	T					Moved to Vanguard
7. AT&T Common Stock	B	Dividend	K	T					
8. Qwest Common Stock	A	Dividend	J	T					
9. Am Elect Power Common Stock	C	Dividend	L	T					
10. Verizon Common Stock	A	Dividend	J	T					Spin-off Frontier
11. Northrop Grumman, Common Stock	C	Dividend	M	T					
12. Denali State Bank Accounts	A	Interest	M	T					
13. Morgan Stanley Global Infastrucutr UTLQX (Trust #1)	A	Interest	K	T					
14. U.S. Savings Bond (Trust #1)	D	Interest	M	T					
15. Morgan Stanley Tax Exempt Sec Tr TAXDX (Trust #1)	C	Interest	L	T					
16. Franklin Fed Tax Free Inc Fd FKTIX (Trust #1)	D	Interest	M	T					
17. Franklin Tax Free Tr FK1TX (Trust#1)	B	Dividend	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

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

J = \$15,000 or less

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

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

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

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

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

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

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

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

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

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

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

T = Cash Market

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. Met Life - Trust Interests	A	Dividend	J	T					
19. Northern Growth Equity Fund NOGEX (Trust #1)	A	Dividend	M	T					
20. Northern Income Equity Fund NOIEX (Trust #1)	B	Dividend	M	T					
21. Northern Int'l Growth Equity Fund NOIGX (Trust #1)	A	Dividend	K	T					
22. TIAA-CREF Retirement Annuity	E	Int./Div.	M	T					
23. Northern Money Mrt Account (Trust #1)	A	Interest	J	T					
24. Transamerica Whole Life Policy	A	Interest	K	T					Dropped "Occidental"
25. Transamerica Whole Life Policy	A	Interest	L	T					Dropped "Occidental"
26. AK State Housing Fin Corp	B	Interest	K	T					
27. Kitsap Cnty Wash GO	A	Interest	K	T					
28. Mat-Su AK Port	B	Interest	K	T					
29. Wells-Evergreen Money Market	A	Interest	J	T					
30. Fidelity Investments Deferred Comp	A	Interest	J	T					
31. Fairpoint Communication, Inc stock	A	Dividend	J	T					
32. First Trust Target Dec 08	A	Interest			Sold	02/12/10	K	C	
33. Symctra Invest Serv Cash Acct	A	Interest	J	T					
34. Calamus Growth Fund	B	Dividend	K	T	Buy	02/12/10	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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G = \$100,001 - \$1,000,000

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

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

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

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

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

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

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

T = Cash Market

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

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35. American Funds Euro Growth Fnd	A	Dividend	K	T	Buy	02/12/10	J		
36. Fairhome Fund	A	Dividend	K	T	Buy	02/12/10	J		
37. First Eagle Sogen	A	Dividend	K	T	Buy	02/12/10	J		
38. Growth Fnd America	B	Dividend	L	T	Buy	02/12/10	J		
39. Janus Perkins Mid CapValue Fd Inv	A	Dividend	K	T	Buy	02/12/10	J		
40. Legg Mason Ptrs Agressive Growth Fd	B	Dividend	L	T	Buy	02/12/10	J		
41. Loomis Sayles Invt Tr Bond Class R	A	Dividend	K	T	Buy	02/12/10	J		
42. PIMCO FDS Pac Invt Mgmt Ser Total Return Fd Instl Cl	B	Dividend	K	T	Buy	02/12/10	J		
43. Davis NY Venture Fd Inc Cl Y	B	Dividend	L	T	Buy	02/12/10	J		
44. MCF SPDR Gold Tr Gold Shares GLD (Trust #1)		None	K	T					
45. MFO Pimco Fds Pac Invt Mgmt PCRIX (Trust #1)	B	Dividend	K	T					
46. MFO Vanguard Fixed Inc Secs VIPSX (Trust #1)	A	Dividend	K	T					
47. MFC Ishares Tr MSCI Emerg Mks EEM (Trust #1)	A	Dividend	K	T					
48. MFB N Funds Stk Index Fd NOSIX(Trust #1)	A	Dividend	L	T					
49. MFB N Multi Mgr Mid Cap Fd NMMCX (Trust #1)	A	Dividend	K	T					
50. Frontier Communications Common Stock	A	Dividend	J	T	Spinoff (from line 10)	06/07/10	J		
51.									

1. Income Gain Codes:
(See Columns B1 and D4)

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C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000

D =\$5,001 - \$15,000
H2 =More than \$5,000,000

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

2. Value Codes
(See Columns C1 and D3)

J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000

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

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P4 =More than \$50,000,000

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

3. Value Method Codes
(See Column C2)

Q =Appraisal
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.									

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(See Columns B1 and D4)

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

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

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

In 2010 Person Reporting's spouse received compensation for articles written, research provided, or conferences attended from the University of Alaska, and the Fairbanks Daily News-Miner.

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IX. CERTIFICATION.

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

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

Signature: s/ Andrew J. Kleinfeld

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)

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