

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2005

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

1. Person Reporting (last name, first, middle initial) Kleinfeld, Andrew J	2. Court or Organization Ninth Circuit	3. Date of Report 08/07/2006
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 01/01/2005 to 12/31/2005
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 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 instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2005	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 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. 2005	State of Alaska, Permanent Fund Dividend	\$ 846
2. 2005	Metropolitan Life Insurance Co. (Deferred Comp)	\$ 21936.00
3. 2005	Prudential Life Insurance Co. (Deferred Comp)	\$ 20652.00
4. 2005	University of Alaska Anchorage - Honorarium	\$ 500
5. 2005	Wesleyan University - Honorarium	\$ 1000

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. 2005	Self employed writer and educational consultant - See Part VIII
2. 2005	University of Alaska - Salary
3. 2005	State of Alaska - Permanent Fund Dividend
4.	
5.	

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

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. George Mason University Law & Economics Center	September 7-11, Alexandria Virginia, Participate in George Mason University Judicial Advisory Board Meeting (transportation, meals, lodging)
2. University of Alaska, Anchorage	September 16-18, Anchorage Alaska, Board meeting, induction ceremony and speech. (meals, and transportation)
3. Wesleyan University, Middletown, CT	October 31- November 1, Middletown, CT, Lecture at Wesleyan University (transportation, meals, lodging)
4.	
5.	

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*☒ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-34 of instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Morgan Stanley - Money Mkt Account	B	Dividend	L	T					
2. Radio Shack common stock	A	Dividend	J	T					
3. Scudder Investments-Int'l Global Funds	B	Dividend	M	T					
4. Keogh Plan - Administered by ABA	F	Dividend	P1	T					
5. Merrill Lynch Bond Fund	C	Dividend	M	T					
6. 403(b) Plan w/ ING	B	Interest	L	T					
7. SBC common stock	A	Dividend	J	T					
8. Qwest common stock	A	Dividend	J	T					
9. Am Elect Power common stock	B	Dividend	L	T					
10. Bell South common stock	A	Dividend	J	T					
11. Verizon common stock	A	Dividend	J	T					
12. Northrop Grumman, common stock	C	Dividend	M	T					
13. Denali State Bank Accounts	A	Interest	L	T					
14. Morgan Stanley Utility Fund (Trust #1)	B	Interest	L	T					
15. U.S. Savings Bonds (Trust #1)	D	Interest	M	T					
16. Morgan Stanley US Govt Securities Tr (Trust #1)	C	Interest	L	T					
17. Morgan Stanley Tax Exempt Sec Tr (Trust #1)	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 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 I11 = \$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 I12 = 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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						(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Franklin Fed Tax Free Inc Fd (Trust #1)	D	Interest	M	T					
19. Franklin Tax Free Tr (Trust #1)	B	Dividend	K	T					
20. Met Life - Trust Interests	A	Dividend	J	T					
21. Northern Growth Equity Fund - (Trust #1)	B	Dividend	M	T					
22. Northern Income Equity Fund (Trust #1)	C	Dividend	M	T					
23. Northern Int'l Growth Equity Fund (Trust #1)	A	Dividend	K	T					
24. AIM Equity Cap Dev Funds	B	Dividend	K	T					
25. AIM Int'l Aggressive Growth Fund	B	Dividend	K	T					
26. Davis NY Venture Fund	C	Dividend	L	T					
27. Allianz Capital Apprec	C	Dividend	L	T	Name Change				From Pimco to Allianz
28. Allianz PEA Target	B	Dividend	K	T	Name Change				From Pimco to Allianz
29. TIAA-CREF Retirement Annuity	D	Interest	M	T					
30. Davis Ser Inc Growth Opportunity	A	Dividend	K	T					
31. Evergreen Hi Inc Muni Bond Fnd	B	Interest	K	T					
32. Symetra-403(b) (formerly Safeco Life Insurance)	D	Interest	M	T					
33. Northern Money Mrt Account (Trust #1)	C	Interest	L	T					
34. Transamerica Occidental Life	C	Interest	L	T					

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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35. Transamerica Occidental Life	B	Interest	K	T					
36. Ak State Housing Fin Corp	B	Interest	K	T					
37. Kitsap Cnty Wash GO	A	Interest	K	T					
38. Mat-Su GO	B	Interest	K	T					
39. Wachovia cash account	A	Interest	J	T	Closed				
40. Wachovia - Evergreen money market	A	Interest	J	T					
41. Unit 821 Dow Target	C	Interest			Redemption	5/4	K	A	
42. Unit 872 Dow target	A	Interest			Redemption	10/5	K	A	
43. First Trust Dow Target	A	Interest			Redemption	11/4	K	A	
44. Fidelity Investments Deferred Comp	A	Interest	J	T					
45. First Trust Target May	B	Interest	K	T	Buy	5/5	L		
46. First Trust Target October	A	Interest	K	T	Buy	10/7	K		
47. First Trust Target November	A	Interest	K	T	Buy	11/4	K		

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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

Various stocks (including SBC, Qwest, American Electric, Bell South, Northrup Grumman, and Verizon) accrue additional shares through dividend reinvestment programs.

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

Person Reporting's [REDACTED] has received compensation for articles written, research services provided or conferences attended from the following entities: The Earhart Foundation, Fairbanks Daily News-Miner, Fairbanks North Star Borough School District, Gaudin & Longoria (expert witness), Nichols College, and the University of Nebraska.

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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



Date

8/7/06

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