

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial) Kleinfeld, Andrew J	2. Court or Organization Ninth Circuit	3. Date of Report 8/11/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Active)	5. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address Courthouse Square 250 Cushman St., Suite 3-A Fairbanks, Alaska 99701	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.

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

☐ NONE - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Co-Trustee

Trust #1

2.

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

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

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FINANCIAL DISCLOSURE REPORT

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Kleinfeld, Andrew J

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

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>GROSS INCOME</u> (yours, not spouse's)
1.	2003	State of Alaska, Permanent Fund Dividend	1108.00
2.	2003	Metropolitan Life Insurance Co. (Deferred Comp)	21936.00
3.	2003	Prudential Life Insurance Co. (Deferred Comp)	20652.00

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.)

	<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	2003	Fairbanks Daily News Miner - Writing
2.	2003	University of Alaska - Salary
3.	2003	State of Alaska - Permanent Fund Dividend

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

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

☐ **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. George Mason University School of Law	June 26-29, Arlington VA, participant in educational seminar (Transportation, Meals and Lodging)

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE1.

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VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-37 of filing instructions.)

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)
☐ NONE (No reportable income, assets, or transactions)									
1. Morgan Stanley - Money Mkt Account	A	Dividend	K	T					
2. Fidelity Tax Exempt	A	Interest			sell	11/04	L	A	
3. Radio Shack common stock	A	Dividend	J	T					
4. Scudder Investments	A	Dividend	L	T					
5. Keogh Plan - Administered by ABA	G	Dividend	O	T					
6. Merrill Lynch Bond Fund	C	Dividend	M	T					
7. 403(b) Plan w/ ING	A	Interest	K	T					
8. US Treasury Bonds	B	Interest	K	T	Redemption	11-17	K	A	US Treas Bond partial redempt
9. SBC common stock	A	Dividend	J	T	Div Reinvest				
10. Qwest common stock	A	Dividend	J	T	Div Reinvest				
11. Am Elect Power common stock	B	Dividend	K	T	Div Reinvest				
12. Bell South common stock	A	Dividend	J	T	Div Reinvest				
13. Verizon common stock	A	Dividend	J	T	Div Reinvest				
14. TRW, now Northrop Grumman, common stock	A	Dividend	L	T	Div Reinvest				Merger of TRW & Grumman
15. Denali State Bank Accounts	A	Interest	K	T					
16. Prudential, now Wachovia, Tax Free Money Market Account	A	Interest	J	T					
17. Morgan Stanley Utility Fund (Trust #1)	B	Interest	K	T					
18. U.S. Savings Bonds (Trust #1)	D	Interest	M	T					

1. Income/Gain Codes:	A = \$1,000 or less (See Columns B4 and D4)	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
2. Value Codes:	F = \$50,001-\$100,000 (See Columns C1 and D3)	G = \$100,001-\$1,000,000	H = \$1,000,001-\$5,000,000	I = \$5,000,001-\$25,000,000	J = More than \$25,000,000
3. Value Method Codes	K = \$15,001-\$50,000 (See Column C2)	L = \$50,001-\$100,000	M = \$100,001-\$250,000	N = \$250,001-\$500,000	O = \$500,001-\$1,000,000
	P = \$1,000,001-\$5,000,000	Q = \$5,000,001-\$25,000,000	R = \$25,000,001-\$50,000,000	S = \$50,000,001-\$250,000,000	T = More than \$250,000,000
	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	U = Book Value
	U = Book Value	V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. Morgan Stanley US Govt Securities Tr (Trust #1)	B	Interest	L	T					
20. Morgan Stanley Tax Exempt Sec Tr (Trust #1)	C	Interest	L	T					
21. Franklin Fed Tax Free Inc Fd (Trust #1)	D	Interest	M	T					
22. Wash St Pub Pwr (Trust #1)	A	Interest	J	T					
Broward Cnty Fla Wtr & Swr (Trust #1)	A	Interest			called	10/01	J	A	
24. Franklin Tax Free Tr (Trust #1)	B	Dividend	K	T					
25. Met Life - Trust Interests	A	Dividend	J	T					
26. Northern Growth Equity Fund - (Trust #1)	A	Dividend	M	T					
27. Northern Income Equity Fund (Trust #1)	C	Dividend	L	T					
28. Northern Int'l Growth Equity Fund (Trust #1)	A	Dividend	K	T					
29. AIM Equity Cap Dev Funds	B	Dividend	K	T					
30. AIM Int'l Aggressive Growth Fund	B	Dividend	K	T					
31. Davis NY Venture Fund	B	Dividend	K	T					
32. Pimco Capital Apprec	B	Dividend	K	T					
33. Pimco Growth	B	Dividend	K	T					
34. Pimco Target	B	Dividend	K	T					
35. TIAA-CREF Retirement Annuity	E	Interest	M	T					
36. Davis Ser Inc Growth	A	Dividend	K	T					

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(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H1 = \$1,000,001-\$5,000,000	H2 = More than \$5,000,000	
2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	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 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
37. Evergreen Hl Inc Muni Bond Fnd	B	Interest	K	T					
38. 403(b) Safeco Life Insurance	D	Interest	M	T					
39. Nat'l Equity Trust Low 5 Ser 44	B	Dividend			Sold	3/26	K	A	
40. Nat'l Equity Trust Low 5 Ser 47	A	Dividend			Sold	10/10	K	A	
41. Nat'l Equity Trust Top 10 Ser 36	B	Dividend			Sold	05/22	K	A	
42. Nat'l Equity Trust SP 500 Ser 16	A	Dividend			Sold	03/05	J		
43. Northern Money Mrt Account (Trust #1)	A	Interest	L	T					
44. Transamerica Occidental Life	C	Interest	L	T					
45. Transamerica Occidental Life	B	Interest	K	T					
46. Nat'l Equity Low5 Ser 51	B	Dividend	K	T	Buy	03/26	K		
47. Nat'l Equity Low5 Ser 54	A	Dividend	K	T	Buy	10/10	K		
48. Nat'l Equity Top10 Ser 42	B	Dividend	K	T	Buy	05/22	K		
49. Nat'l Equity SP500 Ser 19	A	Dividend	J	T	Buy	03/05	J		

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2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,000-\$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-\$100,000,000		
3. Value Method Codes:	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

Various stocks (including SBC, Qwest, American Electric, Bell South, TRW (now 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 [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.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature _____

Date _____

August 11, 2004

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