AO 10
Rev. 1/2007

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2006

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)	2. Court or Organization	3. Date of Report
Kleinfeld, Andrew J	Ninth Circuit	06/13/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Circuit Judge (Active)	☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	01/01/2006 to 12/31/2006
7. Chambers or Office Address	**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.**	
Courthouse Square 250 Cushman St., Suite 3-A Fairbanks, Alaska 99701	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.)*

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

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2006	ABA Members Retirement Program, no control
2.		
3.		

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Name of Person Reporting	Date of Report
Kleinfeld, Andrew J	06/13/2007

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2006	State of Alaska, Permanent Fund Dividend	$ 1107.00
2. 2006	Metropolitan Life Insurance Co. (Deferred Comp)	$ 21936.00
3. 2006	Prudential Life Insurance Co. (Deferred Comp)	$ 20652.00
4.		
5.		

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.)*

DATE	SOURCE AND TYPE
1. 2006	Self employed writer and educational consultant - See Part VIII
2. 2006	University of Alaska - Salary
3. 2006	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.)*

SOURCE	DESCRIPTION
1.	
2.	
3.	
4.	
5.	

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Kleinfeld, Andrew J	06/13/2007

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

[X] NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

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

[X] NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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Kleinfeld, Andrew J	06/13/2007

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of the 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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-H)	(2) Type (e.g. div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Morgan Stanley - Money Mkt Account	C	Dividend	L	T					
2. Radio Shack common stock	A	Dividend	J	T					
3. (DWS) Scudder Investments-Int'l Global Funds	C	Dividend	M	T					Name change
4. Keogh Plan - Administered by ABA	F	Dividend	P1	T					
5. Merrill Lynch Bond Fund now Black Rock	D	Dividend	M	T					
6. 403(b) Plan w/ ING	C	Interest	L	T					
7. at&t common stock formerly SBC	A	Dividend	K	T					Acquisition & name change
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			acquisition	12/28	K		Bought by at&t
11. Verizon common stock	A	Dividend	J	T					
12. Northrop Grumman, common stock	B	Dividend	M	T					
13. Denali State Bank Accounts	A	Interest	J	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 Secutities Tr (Trust #1)	C	Interest	L	T					
17. Morgan Stanley Tax Exempt Sec Tr (Trust	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	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 (See Columns C1 and D3)	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 =More than $50,000,000			
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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#1)									
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	L	T					
24. AIM Equity Cap Dev Funds	C	Dividend	L	T					
25. AIM Int'l Aggressive Growth Fund	C	Dividend	L	T					
26. Davis NY Venture Fund	C	Dividend	L	T					
27. Allianz CCM Capital Apprec	C	Dividend	L	T					Name change (add CCM)
28. Allianz OCC Target	B	Dividend	K	T					Name change from AllianPEA
29. TIAA-CREF Retirement Annuity	E	Int./Div.	M	T					
30. Davis Ser Inc Growth Opportunity	B	Dividend	K	T					
31. Evergreen Strategic Muni Bond Fnd	B	Interest	K	T					Name change now strategic
32. Symetra-403(b)	D	Interest	M	T					
33. Northern Money Mrt Account (Trust #1)	C	Interest	L	T					

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34. Transamerica Occidental Life	C	Interest	L	T					
35. Transamerica Occidential 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	A	Interest	K	T					
39. Wachovia - Evergreen money market	A	Interest	J	T					
40. Fidelity Investments Deferred Comp	A	Interest	J	T					
41. First Trust Target May	A	Interest		T	Redemption	6/5	L	C	
42. First Trust Target October	B	Interest	K	T					
43. First Trust Target November	B	Interest	K	T					
44. First Trust Target June 06	C	Interest	L	T	Buy	6/1	L		
45. Idrearc Inc	A	Dividend	J	T	spin-off	11/17	J		Verizon spin-off
46.									
47.									
48.									
49.									
50.									

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

Various stocks (including at&t, Qwest, American Electric, 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. Th[redacted]f 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[redacted]has received compensation for articles written, research services provided or conferences attended from the following entities: University of Maryland, Fairbanks North Star Borough School District, University of Alaska, Bering Strait School District and, 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 [redacted] **Date** June 15, 2007

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

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