

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2013**

*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) Kozinski, Alex	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 08/11/2014
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	6. Reporting Period 01/01/2013 to 12/31/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address 125 S. Grand Avenue Suite 200 Pasadena, CA 91105		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i>		

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

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1. All Limited Partnerships	Reported in Section VII
2.	
3.	
4.	
5.	

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

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1.	
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. Feb 7-8	Emory Law Journal Symposium - Lecture Fee	\$10,000.00
2. Feb 25	Univ. of Colorado - Lecture Fee	\$1,000.00
3. Feb 28	Santa Clara University - Lecture Fee	\$2,000.00
4. April 4	Apital University - Lecture Fee	\$5,000.00
5. June 11-13	Atlanta IP Inn of Court - Lecture Fee	\$2,000.00
6. Oct 15-16	Univ. of Notre Dame Law School - Lecture Fee	\$2,500.00
7. Oct 29	Oklahoma City Univ. School of Law	\$500.00
8. Dec 12-13	Federal Practice Seminar	\$3,000.00

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. 12/31/13	Self-employed attorney
2.	
3.	
4.	

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. Reason Weekend	Jan. 31-Feb. 3	Law Vegas, NV.	Speaking Engagement	Travel & Lodging for Self and XXXXXXXXXX
2. Emory Law Journal Symposium	Feb. 7-8	Atlanta, CA	Speaking Engagement	Travel & Lodging

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3.	U.C. Hastings	Feb. 20	San Francisco, CA	Speaking Engagement	Dinner
4.	Univ. of Colorado	Feb. 25	Denver, Co	Speaking Engagement	Travel & Lodging
5.	Santa Clara Univ.	Feb. 28	Santa Clara Univ.	Speaking Engagement	Travel & Lodging
6.	Yale Law School	March 2-3	New Haven, CT	Speaking Engagement/ Panel	Travel & Lodging
7.	LA County Bar Labor & Employment Symposium	March 27	Los Angeles, CA	Speaking Engagement/ Panel	Dinner
8.	Capital Univ.	April 4	Columbus, OH	Speaking Engagement	Travel & Lodging
9.	San Diego Lawyers Chapter, Federalist Society	April 12	San Diego, CA	Speaking Engagement	Travel
10.	National Ski Association	May 1	Palm Springs, CA	Speaking Engagement	Travel
11.	Calif. Academy of Appellate Lawyers	May 3-5	Carmel Valley Ranch, CA	Speaking Engagement	Travel & Lodging
12.	Marriage Ceremony - Alisa Thomas	May 18-19	Santa Cruz, CA	Speaking Engement	Travel & Lodging
13.	So. Calif. Institute of Law	June 7-9	Santa Barbara, CA	Speaking Engagement	Travel & Lodging, Self & [REDACTED]
14.	Atlanta IP Inn of court	June 11-13	Atlanta, CA	Speaking Engagement	Travel & Lodging
15.	CATO Institute	June 14	Washington, D.C.	Speaking Engagement/ Panel	Lodging
16.	Atlas Symposium	June 28-July 1	Washing, D.C.	Speaking Engagement/ Panel	Travel & Lodging
17.	UC Berkeley Panel/hosted by Wilson SonsiniGoodrich & Rosati	July 1	Pale Alto, CA	Speaking Engagement/ Panel	Travel
18.	ACLU Debate	July 26	Los Angekes, CA	Speaking Engagement	Lunch
19.	Chapman Univ. School of Law	Sept. 10	Orange, CA	Speaking Engagement	Travel
20.	ABTL 40th Annual Seminar	Oct. 2-6	Laguna Niguel, CA	Speaking Engagement	Travel & Lodging, Self & [REDACTED]
21.	Univ. of Notre Dame Law School	Oct. 15-16	Notre Dame, Indiana	Speaking Engagement	Travel & Lodging
22.	FBA Oklahoma City Chapter	Oct. 28	Oklahoma City, OK	Speaking Engagement	Travel & Lodging
23.	Yale Law School Federalist Society	Nov. 11	New Haven, CT	Speaking Engagement	Travel & Lodging
24.	Federal Practice Seminar - Iowa State Bar Assoc.	Dec. 12-13	Des Moines, IO	Speaking Engagement	Travel & Lodging
25.					

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing 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. 32-33 of filing 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 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. 816 SHS SANMINA-SCI	A	Dividend	J	T					
2. 121 SHS STANCORP	A	Interest	J	T					
3. DREYFUS MUNI MONEY MARKET FUND	A	Interest	L	T					
4. SCHWAB MONEY MARKET FUND	A	Interest	J	T					
5. [SCHWAB MONEY MARKET FUND(SWMXX)	A	Interest	J	T					
6. Fidelity Cash Reserves(FDRXX)	A	Interest	K	T					
7. ARNA	A	Dividend	J	T					
8. TIP	A	Dividend	K	T					
9. HYG	A	Dividend	K	T					
10. GDX	A	Dividend	J	T					
11. BND	A	Dividend	J	T					
12. VWO	A	Dividend	K	T					
13. VGK	A	Dividend	K	T					
14. VPL	A	Dividend	K	T					
15. VNQ	A	Dividend	J	T					
16. VB	A	Dividend	K	T					
17. VTI	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	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 =\$250,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 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 U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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.)

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	(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)
18. (PTR) HISTORIC PRE. PROP.	A	Interest	J	U					
19. (PTR) WINGATE HSG. II	A	Interest	J	U					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	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	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 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 U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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

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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/ Alex Kozinski**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY 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
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