

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 07/28/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Courthouse Square 250 Cushman St. Suite 3-A Fairbanks, AK 99701		
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.		

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. 2019	ABA Members Retirement Program, no control - The agreement ended 6/2/19 when the person reporting rolled over the funds to an IRA at Wells Fargo Bank.
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. 2019	State of Alaska, Permanent Fund Dividend	\$1,606.00
2. 2019	Metropolitan Life Insurance Co (lifetime annuity)	\$21,936.00
3. 2019	Prudential Life Insurance Co (lifetime annuity)	\$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. 2019	State of Alaska, Permanent Fund Dividend
2. 2019	State of Alaska, Retirement
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.				
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.)

	<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. Morgan Stanley - Money Mkt Account	A	Dividend	L	T					
2. Radio Shack Common Stock (Y)									
3. DWS CROCI International Fund	B	Dividend	L	T					
4. Keogh Plan -Administered by ABA Stable Asset Return Fund	A	Int./Div.			Sold	06/03/19	M	B	
5.									
6. Keogh Plan - Administered by ABA Moderate Risk Fund	E	Int./Div.			Sold	06/03/19	P1	G	
7. Black Rock Total Return Fund	D	Dividend	M	T					
8. IRA Rollover Plan w/Vanguard Tot Intl Stock Ix Admiral	A	Int./Div.	K	T					
9. IRA Rollover Plan w/Vanguard Total Stock Mkt Idx Admiral	E	Int./Div.	O	T					
10. 403(b) Plan w/Vanguard Total Int'l Stock Ix Inv	A	Int./Div.	J	T					
11. 403(b) Plan w/Vanguard Total Stock Mkt Idx Inv A	A	Int./Div.	K	T					
12. Centurylink Common Stock	A	Dividend			Sold	02/12/19	J	A	
13. Am Elect Power Common Stock	D	Dividend	M	T					
14. Northrop Grumman, Common Stock	D	Dividend	O	T					
15. Denali State Bank Accounts	A	Interest	O	T					
16. MetLife Policyholder Trust (MetLife Stock)	A	Dividend	J	T					
17. Northern Income Equity Fund, NOIEX (Trust #1)	A	Dividend			Sold	04/09/19	L	C	

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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☐ 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)	(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)
18. TIAA-CREF Retirement Annuity TIAA Traditional	D	Int./Div.	M	T					
19. TIAA-CREF Retirement Annuity Cref Stock R2	D	Int./Div.	M	T					
20. Northern Money Mrt Account (Trust #1)	A	Interest	J	T					
21. Transamerica Whole Life Policy	B	Interest	K	T					
22. Transamerica Whole Life Policy	B	Interest	K	T					
23. Wells-Evergreen Money Market	A	Interest	J	T					
24.									
25. American Funds Euro Growth Fnd, AEPFX	B	Dividend	L	T					
26. First Eagle Sagen Fds, SGIIX	C	Dividend	L	T					
27. Growth Fnd America, GFFFX	D	Dividend	M	T					
28. Legg Mason Fds Clearbridge Aggressive Growth Fd, SAGYX	E	Dividend	M	T					
29. Loomis Sayles Invt Fds Bond Fd, LBSRX	B	Dividend	K	T					
30. PIMCO FDS Pac Invt Mgmt Ser Total Return Fd Instl Cl, PTTRX	C	Dividend	K	T					
31. Davis NY Venture Fd Inc Cl Y, DNVYX	D	Dividend	M	T					
32. Vanguard Index Tr Mid Cap Index Fd Admiral Sh, VIMAX	C	Dividend	M	T	Buy (add'l)	05/15/19	J		
33. MFO Vanguard Fixed Inc Secs, VIPSX (Trust #1)	B	Dividend	K	T					
34. MFC Ishares Tr MSCI Emerg Mks, EEM (Trust #1)	B	Dividend	K	T					

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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	
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35. MFB N Funds Stk Index Fd, NOSIX (Trust #1)	E	Dividend	N	T	Sold (part)	04/09/19	M	G	
36. Frontier Communications Common Stock (Y)									
37. Huntington Ingalls Industries Stock	B	Dividend	J	T					
38. MCF Ishares S-T Corp bd ETF, IGSB (Trust #1)	B	Dividend	L	T					
39. MCF Shares TR MSCI EAFE ETF, EFA (Trust #1)	C	Dividend	L	T					
40. MCF Flexshr TR Morningstr Gbl Upstm Nat Res Indx Fd, GUNR (Trust #1)	B	Dividend	K	T					
41. MFB Northern FDS Global Real Estate Index Fd, NGREX (Trust #1)	B	Dividend	K	T	Sold (part)	05/20/19	K	B	
42. MFB Northern Mid Cap Index Fd, NOMIX (Trust #1)	B	Dividend	K	T	Sold (part)	03/13/19	J	B	
43. MFB Northern Fds Small Cap Index Fd, NSIDX (Trust #1)	A	Dividend	K	T	Sold (part)	03/13/19	J	A	
44. MFC Flexshr Tr IBOX 3yr Target Duration Tips Index Fd, TDDT (Trust #1)	A	Dividend	J	T					
45. MCF Flexshr Tr Stoxx GLB Broad Infrastructure Index FD, NFRA	B	Dividend	K	T					
46. Brighthouse Financial, Inc.	A	Dividend			Sold	10/18/19	J	A	
47. Vanguard REIT Index FD, VGSLX	D	Dividend	M	T	Buy	06/25/19	M		
48. Vanguard Developed Mkts Index FD VTMGX	D	Dividend	M	T	Buy	06/25/19	M		
49. Vanguard Emerging Mkt Stock Index FD VEMAX	C	Dividend	M	T	Buy	06/25/19	L		
50. Vanguard Total Stk Mkt Index Fd VTSAX	E	Dividend	P1	T	Buy	06/25/19	P1		
51. Vanguard cash account	A	Interest	J	T	Open	06/03/19	J		

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

Various stocks (including, but not limited to, Centurylink, American Electric, and Northrup Grumman, 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 other 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 parents' estate plan, with his children 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.

Various descriptions of assets, under Part VII, have been edited for typos and minor corrections, so they won't perfectly match up with the 2018 Financial Disclosure 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/ Andrew J. Kleinfeld**

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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