

FD-278
Rev. 1-79

FINANCIAL DISCLOSURE REPORT

Political Act. of 1996, 2-2-97, 11-97
11-97, 11-97, 11-97, 11-97, 11-97
(9 U.S.C.A. App. A, §§101-103)

1. Person Reporting (Last name, first, middle initial): KLEINFELD, ANDREW J.	2. Court or Organization: U.S. DISTRICT COURT DISTRICT OF ALASKA	3. Date of Report: 5/28/91
4. Title (Article III Judges indicate active or senior status; Magistrate Judges indicate full or part-time): JUDGE (ACTIVE)	5. Report Type (check appropriate box): ☒ Nomination, Date 5/23/91 — Initial — Initial — Final	6. Reporting Period: 1990-91
7. Chambers or Office Address: 222 WEST SEVENTH, BOX 12 ANCHORAGE, AK 99513-2566		

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

POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY



NONE (No reportable positions)

AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS



NONE (No reportable agreements)

II. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

(Honoraria only)

(Yours, not spouse's)



NONE (No reportable non-investment income)

State of Alaska permanent fund dividend	\$ 952.63
annuity - Metropolitan Life Ins. Co.	\$ 21,936
annuity - Prudential Life Ins. Co.	\$ 20,652
U. of Alaska - spouse's salary as professor	\$
Spouse - Honorarium - U. Comm., Georgetown	\$
Edue. Sec., James Madison U., Fairwood Lab	
Michigan State U., expert fee from Dehaile, Italy + Dehaile	

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of person receiving

Heinrich

Date of report

5/28/91

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

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of Instructions.)

SOURCE

DESCRIPTION



NONE (No such reportable reimbursements or gifts)

1 *My wife, a Professor, gets travel reimbursements*
 2 *when she goes to conferences in her field, education.*
 3 *These are totally independent of my position*
 4 *and of her relationship to me.*
 5 _____
 6 _____
 7 _____
 8 _____

V. OTHER GIFTS.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCE

DESCRIPTION

VALUE



NONE (No such reportable gifts)

1 _____ \$ _____
 2 _____ \$ _____
 3 _____ \$ _____
 4 _____ \$ _____
 5 _____ \$ _____

VI. LIABILITIES.

(Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*



NONE (No reportable liabilities)

1 _____
 2 _____
 3 _____
 4 _____
 5 _____
 6 _____
 7 _____
 8 _____

* VALUE CODE: C = \$15,000 or less K = \$15,001 to \$50,000 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000
 N = \$250,001 to \$500,000 O = \$500,001 to \$1,000,000 P = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (Form 278)

AGE OF REPORTER: 1/21/61

DATE OF REPORT: 5/28/61

VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Include transactions of the individual and dependent children; see pp. 15-17 of instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset: (1) "Individual" for individual; (2) "Spouse" for spouse; (3) "Joint" for joint ownership; (4) "Dependent child" for ownership by dependent child. Place "X" after each asset except first prior disclosure.	B. Income during reporting period		C. Gross Value at end of reporting period		D. Transactions during reporting period					
	(1) Amt. Code (1-5)	(2) Type (1-5) Part of (1-5)	(3) Value Code (1-5)	(4) Value Code (1-5)	(5) Type (1-5) Part of (1-5)	(6) Date (1-5)	(7) Value Code (1-5)	(8) Value Code (1-5)	(9) Value Code (1-5)	(10) Value Code (1-5)
☐ NONE (No reportable income, assets, or transactions)										
1. municipal bonds - all jointly owned with spouse.										
2. Baltimore	A	int. R	W		redemption 1/90 R	A				
3. New York	A	int. R	W							
4. Detroit	A	int. R	W							
5. Menden	A	int. R	W		redemption 1/90 R	A				
6. Anaheim	A	int. R	W		redemption 1/90 R	A				
7. Baltimore	A	int. R	W							
8. Florida	A	int. R	W							
9. Baltimore	A	int. R	W							
10.										
11.										
12.										
13.										
14.										
15. Value Line Corp (S) E. div L T			L	T	div - 1/60	L	A			
16. Value Line Corp (S) E. div R T			R	T	div - 1/60	R	A			
17. Value Line Corp (S) A. div J T			J	T	div - 1/60	J	A			
18. Value Line Corp (S) C. div L T			L	T	div - 1/60	L	A			
19.										
20.										

FINANCIAL DISCLOSURE REPORT (cont'd)

Harrington

5/28/91

VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset, by giving the parenthetical (P) or (J) and, for ownership of separate and indivisible assets, the name of the person or persons to whom the asset is owned or co-owned by dependent child. Place "X" after each asset except those listed elsewhere.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period					
	(1)	(2)	(1)	(2)	If not exempt from disclosure					
	Asset Code (A-B)	Type (C-E) (S) = Sole; (J) = Joint; (A) = A trust; (M) = Marital; (D) = Dependent child	Value Code (J-P)	Value Code (Q-U)	(1) Type (S) = Sale; (B) = Buy; (D) = Dividend; (R) = Redemption	(2) Date Month- Day	(3) Value Code (J-P)	(4) Value Code (Q-U)	(5) Value Code (Q-U)	(6) Identify or other action if above transactions
☐ NONE (No reportable income, assets, or transactions)										
1. Key Bank (J)	C	int	0	T						various deposits + withdrawal
2. Equity W. Life Ins. (J)	E	int	0	T						various transfers to other acct's
3. Prudential Ins. (J)	D	int	M	+						
4. Fidelity Ins. (J)	C	int	L	T						redemptions
5. Family 1000000 (J)	A	div	J	T						
6. Polaroid 1000000 (J)	A	div	J	T						
7. 3 lots 1/2 acre each (J)		residential								residential - not held for investment
8. Kemper Bond Fund (J)	C	div	L	W						
9. Dwight D. Eisenhower (J)	D	div	K	T						
10. Jefferson Co. Bond Fund (J)	A	none	D	W						
11. 2 shares of EE bonds (D)	A	none	J	W						
12. Mrs. M. M. Bond Fund (D)	A	int	J	T						
13. Key Bank - Georgia (D)	A	int	J	T						
14. Mrs. M. M. Bond Fund (D)	A	int	J	T						
15. Mrs. M. M. Bond Fund (D)	A	int	J	T						
16. Key Bank Bond Fund (D)	A	int	J	T						
17. 1 share of 1/2 acre (D)	D	div	N	T						
18.										
19.										
20.										

FINANCIAL DISCLOSURE REPORT (Form 278)

Kemp

550

INVESTMENTS AND TRUSTS - DISCLOSEABLE TRANSACTIONS (Form 278-1)

and dependent children: see pp. 15-17 of instructions

1. Description of asset, interest, or transaction (including, where appropriate, the name of the person or entity with whom the asset, interest, or transaction is held or conducted, and the name of the person or entity with whom the asset, interest, or transaction is held or conducted)	2. Date		3. Amount		4. Description of asset, interest, or transaction		5. Description of asset, interest, or transaction		6. Description of asset, interest, or transaction	
	From	To	From	To	Asset, interest, or transaction	Asset, interest, or transaction	Asset, interest, or transaction	Asset, interest, or transaction	Asset, interest, or transaction	Asset, interest, or transaction
☐ NONE										
<i>Sanford</i>	A	dir	J	T						
<i>Palmer</i>	A	dir	J	T						
<i>Paula</i>	A	dir	J	T						
<i>Lanier</i>	A	dir	K	T	old			K	A	
<i>Hawkins</i>	B	dir	K	T						
<i>Oregon</i>	B	dir	K	T						
<i>Pennsylvania</i>	A	dir	K	T						
<i>Texas</i>	A	dir	J	T						
<i>Washington</i>	B	dir	K	T						
<i>Alabama</i>	A	dir	J	T						
<i>Kentucky</i>	A	dir	J	T	old			K	A	
<i>Johnsonville</i>	A	dir	J	W						
<i>Michigan</i>	A	dir	J	W						
<i>Ohio</i>	A	dir	J	W						
<i>Washington HFC</i>	A	dir	J	W	redacted			K	A	
<i>Harris County</i>	A	dir	J	W						
<i>Pittsburgh Inc.</i>	A	dir	J	W						
<i>U.S. Treasury Bonds</i>	A	more	M	T						

FINANCIAL DISCLOSURE REPORT (cont'd)

Case 2: 1991-1992

Helmholtz

5/28/91

VII. INVESTMENTS AND TRUSTS -- income, value, transactions. (includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset by using the "Identical" "(I)" for joint ownership or reporting individual and spouse, "(S)" for separate ownership to spouse, "(DC)" for ownership by dependent child. Place "(X)" after each asset except from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period					
	(1) Int. (A-R)	(2) Div. (S-P)	(1) Value (J-S)	(2) Value (S-P)	(1) Type (Acq., Dis., Sell., Exch., Gift, etc.)	(2) Date (MM/DD)	(3) Value (J-S)	(4) Value (S-P)	(5) Identify or describe transaction.	
☐ NONE (No reportable income, assets, or transactions)										
<i>Two pages is all property of spouse which she inherited</i> (5)										
1. <i>Shawmut Savings</i>	A	div	J	T	redeemed	7/25	J	A		
2. <i>Amstar 414 OR</i>	A	div	J	T						
3. <i>Southwest Bell 3309</i>	A	div	J	T						
4. <i>WVX 22 OR</i>	A	div	J	T						
5. <i>US West 25 OR</i>	A	div	J	T						
6. <i>Amstar 537 OR</i>	B	div	J	T						
7. <i>ATT 185 OR</i>	A	div	J	T						
8. <i>Bell South 63 OR</i>	A	div	J	T						
9. <i>Utah Power 236 OR</i>	A	div	J	W						
10. <i>Bell Atlantic 22 OR</i>	A	div	J	T						
11. <i>TRW 422 OR</i>	A	div	K	T						
12. <i>MCO outland. div</i>	A	div	J	W						
13. <i>Marill Lynch Bank</i>	B	div	K	W	redeemed		K	A		
14. <i>Rosemount 489 OR</i>	A	div	J	T						
15. <i>Thermon Trust</i>	A	div.	J	W						
16. <i>Fidelity Cash Deposits</i>	A	div	J	T	redeemed	7/25	J	A		
17.										
18.										
19.										
20.										

1. Income Gains Totals:	A=\$0.00 or less	B=\$0.00 to \$2,500	C=\$2,500 to \$5,000	D=\$5,000 to \$10,000	E=\$10,000 or more
2. See Col. 11	F=\$0.00 or less	G=\$0.00 to \$2,500	H=\$2,500 to \$5,000	I=\$5,000 to \$10,000	J=\$10,000 or more
3. Value Method Totals:	A=\$0.00 or less	B=\$0.00 to \$2,500	C=\$2,500 to \$5,000	D=\$5,000 to \$10,000	E=\$10,000 or more
4. See Col. 11	F=\$0.00 or less	G=\$0.00 to \$2,500	H=\$2,500 to \$5,000	I=\$5,000 to \$10,000	J=\$10,000 or more

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Report Recipient

Date of Report

Kleinfeld

5/28/91

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

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent child had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

I certify that all information given above (including information pertaining to my spouse and minor or dependent child, 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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature

Date

May 28, 1991

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544