

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 5/15/2015
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 5b. ☐ Amended Report	6. Reporting Period 1/1/2014 to 12/31/2014
7. Chambers or Office Address 125 S. Grand Avenue Suite 200 Pasadena, CA 91105		
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.)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Kozinski, Alex

Date of Report

5/15/2015

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. April 2	Ohio State University - Teaching	\$2,000.00
2. Oct. 14	Notre Dame Law School - Teaching	\$2,500.00
3.		
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. 12/31/14	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. Cornell Law School	Feb. 5-9	Ithaca, NY	Moot Court/Speaking Engagement	Travel & Lodging for Self and law clerk
2. Pepperdine Law School	March 8-9	Malibu, CA	Moot Court	Travel & Lodging
3. State Bar of Georgia	March 13-14	Atlanta, CA	Speaking Engagement	Travel & Lodging
4. Ohio State Univ.	April 2	Columbus, OH	Teaching	Travel & Lodging
5. Boston Univ.	April 21-22	Boston, MA	Speaking Engagement	Travel & Lodging
6. ABTL	May 13	Palo Alto, CA	Speaking Engagement	Travel & Lodging
7. Univ. of Houston Law Center	May 30-June 1	Santa Fe, NM	Speaking Engagement	Travel & Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Kozinski, Alex

Date of Report

5/15/2015

8.	Cato	July 23-24	Washington, D.C.	Speaking Engagement	Travel & Lodging
9.	Federal Bar Assoc.	July 29	Riverside, CA	Speaking Engagement	Lunch
10.	IP Scholars Conference	August 7	Berkeley, CA	Speaking Engagement	Travel & Lodging
11.	New Zealand World Bar Conference	Sept. 5-10	Queenstown	Speaking Engagement/ Teaching	Travel & Lodging, self and spouse
12.	Notre Dame Law School	Oct. 13-15	Notre Dame, Indiana	Speaking Engagement	Travel & Lodging
13.	Yale Law School	Oct. 16-19	New Haven, CT.	Speaking Engagement	Travel & Lodging
14.	NYU School of Law	Nov. 7-10	New York, NY	Speaking Engagement	Travel & Lodging, self and spouse
15.	Harvard Law School	Nov. 10-12	Cambridge, MA	Speaking Engagement	Travel & Lodging, self and spouse
16.	Duke Law Conference	Nov. 12-14	Crystal City, VA	Speaking Engagement	Travel & Lodging
17.	Nat'l Assoc. of Crim. Defense Lawyers	Nov. 15-17	Washington, D.C.	Speaking Engagement	Travel & Lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Kozinski, Alex

Date of Report

5/15/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Kozinski, Alex

Date of Report

5/15/2015

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.  SANMINA-SCI	A	Dividend	J	T					
2.  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			Sold	5/2/14	J	A	
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 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Kozinski, Alex

Date of Report

5/15/2015

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

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Kozinski, Alex

Date of Report

5/15/2015

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Kozinski, Alex

Date of Report

5/15/2015

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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