

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 07/28/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address Courthouse Square 250 Cushman St. Suite 3-A Fairbanks, Alaska 99701	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. 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 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. 2009	ABA Members Retirement Program, no control
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. 2009	State of Alaska, Permanent Fund Dividend	\$1,305.00
2. 2009	Metropolitan Life Insurance Co. (Deferred Comp)	\$21,936.00
3. 2009	Prudential Life Insurance Co. (Deferred Comp)	\$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. 2009	Self employed writer and educational consultant - See Part VIII
2. 2009	University of Alaska - Salary
3. 2009	State of Alaska - Permanent Fund Dividend
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)	(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)
1. Morgan Stanley - Money Mkt Account	A	Dividend	L	T					
2. Radio Shack Common Stock	A	Dividend	J	T					
3. DWS Funds	B	Dividend	M	T					
4. Keogh Plan - Administered by ABA	A	Int./Div.	P1	T					
5. Black Rock Total Return Fund	D	Dividend	M	T					
6. 403(b) Plan w/ ING	D	Int./Div.	N	T					
7. AT&T Common Stock	B	Dividend	K	T					
8. Qwest Common Stock	A	Dividend	J	T					
9. Am Elect Power Common Stock	C	Dividend	L	T					
10. Verizon Common Stock	A	Dividend	J	T					
11. Northrop Grumman, Common Stock	C	Dividend	L	T					
12. Denali State Bank Accounts	A	Interest	N	T					
13. Morgan Stanley Global Infrastructure (Trust #1)	A	Interest	K	T					
14. U.S. Savings Bond (Trust #1)	D	Interest	M	T					
15. Morgan Stanley US Govt Securities Tr (Trust #1)	B	Interest			Sold	11/02/09	L	A	
16. Morgan Stanley Tax Exempt Sec Tr (Trust #1)	C	Interest	L	T					
17. Franklin Fed Tax Free Inc Fd (Trust #1)	D	Interest	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,000 - \$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 Q = \$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) 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. Franklin Tax Free Tr (Trust#1)	B	Dividend	K	T					
19. Met Life - Trust Interests	A	Dividend	J	T					
20. Northern Growth Equity Fund (Trust #1)	B	Dividend	M	T	Sold (part)	10/29/09	K	A	
21. Northern Income Equity Fund (Trust #1)	B	Dividend	M	T					
22. Northern Int'l Growth Equity Fund (Trust #1)	A	Dividend	K	T					
23. AIM Equity Cap Dev Funds	A	Dividend			Sold	03/10/09	K	A	
24. AIM Global Small & Mid Cap Growth Fd	A	Dividend			Sold	03/10/09	K	A	
25. Davis NY Venture Fund	A	Dividend			Sold	03/10/09	K	A	
26. Allianz CCM Capital Apprec	A	Dividend			Sold	03/10/09	K	A	
27. Allianz OCC Target	A	Dividend			Sold	03/10/09	K	A	
28. TIAA-CREF Retirement Annuity	E	Int/Div.	M	T					
29. Davis Ser Inc Growth Opportunity	A	Dividend			Sold	03/10/09	J	A	
30. Evergreen Strategic Muni Bond Fnd	A	Interest			Sold	03/05/09	K	A	
31. Symetra-403(b)	D	Interest			Closed	11/12/09	N	A	Acct transf to Ing
32. Northern Money Mrt Account (Trust #1)	A	Interest	J	T					
33. Transamerica Occidental Life	C	Interest	L	T					
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	(1) Amount Code 1	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2	(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)
	(A-H)		(J-P)	(Q-W)					
35. AK State Housing Fin Corp	B	Interest	K	T					
36. Kitsap Cnty Wash GO	A	Interest	K	T					
37. Mat-Su AK Port	B	Interest	K	T					Name Correction
38. Wells-Evergreen Money Market	A	Interest	J	T					Name change
39. Fidelity Investments Deferred Comp	A	Interest	J	T					
40. Fairpoint Communication, Inc stock	A	Dividend	J	T					
41. First Trust Target Dec 08	A	Interest	K	T					
42. First Trust Target May 08	A	Interest			Sold	08/05/09	J	A	
43. First Trust Target April 08	A	Interest			Sold	07/06/09	K	A	
44. Symetra Invest Serv Cash Acct	A	Interest	J	T	Buy	04/01/09	J		
45. Calamus Growth Fund	A	Dividend	K	T	Buy	03/10/09	K		
46. American Funds Euro Growth Fnd	A	Dividend	K	T	Buy	03/10/09	K		
47. Fairhome Fund	A	Dividend	K	T	Buy	03/10/09	K		
48. First Eagle Sogen	A	Dividend	K	T	Buy	03/10/09	K		
49. Growth Fnd America	A	Dividend	L	T	Buy	03/10/09	K		
50. Janus Perkins Mid CapValue Fd Inv	A	Dividend	K	T	Buy	03/10/09	J		
51. Legg Mason Ptrs Agressive Growth Fd	A	Dividend	L	T	Buy	03/10/09	K		

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52. Loomis Sayles Invt Tr Bond Class R	A	Dividend	K	T	Buy	03/10/09	J		
53. PIMCO FDS Pac Invt Mgmt Ser Total Return Fd Instl Cl	A	Dividend	K	T	Buy	03/10/09	K		
54. Vanguard Total Stock Mkt Index Fd Inv	A	Dividend			Buy	03/10/09	K		
55.					Sold	05/14/09	K	D	
56. Davis NY Venture Fd Inc Cl Y	A	Dividend	L	T	Buy	5/14/09	K		
57. MCF SPDR Gold Tr Gold Shares (Trust #1)	A	Dividend	K	T	Buy	12/14/09	K		Income - appreciation
58. MFO Pimco Fds Pac Invt Mgmt (Trust #1)	A	Dividend	K	T	Buy	12/15/09	K		
59. MFO Vanguard Fixed Inc Secs (Trust #1)	A	Dividend	K	T	Buy	12/15/09	K		
60. MFC Ishares Tr MSCI Emerg Mks (Trust #1)	A	Dividend	K	T	Buy	10/29/09	K		
61. MFB N Funds Stk Index Fd (Trust #1)	A	Dividend	L	T	Buy	10/29/09	L		
62. MFB N Multi Mgr Mid Cap Fd (Trust #1)	A	Dividend	K	T	Buy	10/29/09	K		
63.									
64.									
65.									

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

Various stocks (including Qwest, American Electric, AT&T, Northrup Grumman, Fairpoint, and Verizon) 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 Co-Trustee. Judge Kleinfeld receives income and has the power to invade principal subject to a standard. The beneficiaries are members of 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.

In 2009 Person Reporting's [REDACTED] received compensation for articles written, research provided, or conferences attended from the University of Alaska, and the 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 _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

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