

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) Kleinfeld, Andrew J.	2. Court or Organization Ninth Circuit	3. Date of Report 01/23/2015
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Courthouse Square 250 Cushman St. Suite 3-A Fairbanks, Alaska 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. 2012	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. 2013	State of Alaska, Permanent Fund Dividend	\$900.00
2. 2013	Metropolitan Life Insurance Co. (lifetime annuity)	\$21,936.00
3. 2013	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. 2013	State of Alaska - Permanent Fund Dividend
2. 2013	State of Alaska - Retirement
3. 2013	\$5,000 Honorarium - Santa Fe Community Foundation for Chicago SF Boys Gathering
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.)*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.

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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	A	Dividend	J	T					
3. DWS International Fund - A	C	Dividend	M	T					
4. Keogh Plan - Administered by ABA Stable Asset Return Fund	C	Int./Div.	M	T					
5. Keogh Plan - Administered by ABA Balanced Fund	G	Int./Div.	P1	T					
6. Black Rock Total Return Fund	D	Dividend	M	T					
7. 403(b) & IRA Rollover Plans w/ Vanguard Tot Intl Stock Ix Admiral	B	Int./Div.	M	T					
8. 403(b) & IRS Rollover Plans w/ Vanguard Total Stock Mkt Idx Adm	D	Int./Div.	O	T					
9. Centurylink Common Stock, was Qwest	A	Dividend	J	T					
10. Am Elect Power Common Stock	C	Dividend	L	T					
11. Northrop Grumman, Common Stock	C	Dividend	M	T					
12. Denali State Bank Accounts	A	Interest	N	T					
13. U.S. Savings Bonds (Trust #1)	D	Interest	M	T					
14. MetLife Policyholder Trust (MetLife Stock)	A	Dividend	J	T					
15. Northern Income Equity Fund NOIEX (Trust #1)	B	Dividend	M	T	Buy (add'l)	03/11/13	K		
16. Northern Int'l Growth Equity Fund NOIGX (Trust #1)	A	Dividend			Sold	03/11/13	K	A	
17. TIAA-CREF Retirement Annuity	E	Int./Div.	N	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 \$5,000,000	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. Northern Money Mrt Account (Trust #1)	A	Interest	K	T					
19. Transamerica Whole Life Policy	B	Interest	K	T					
20. Transamerica Whole Life Policy	C	Interest	L	T					
21. AK State Housing Fin Corp		Interest			Redeemed (part)	06/01/12	J	A	
22.					Redeemed (part)	09/04/12	J	A	
23.					Redeemed (part)	10/01/12	J	A	
24. Kitsap Cnty Wash GO	A	Interest			Redeemed	12/02/13	K	A	
25. Mat-Su AK Port	B	Interest	K	T					
26. Wells-Evergreen Money Market	A	Interest	J	T					
27. Fidelity Investments Deferred Comp Fid Balanced K	C	Interest	K	T					
28. Fairpoint Communication, Inc Stock	A	Dividend	J	T					
29. Signator Financial Services (Formerly Symetra Invest Serv) Cash Acct	A	Interest	K	T					
30. Calamus Growth Fund CGRIX	C	Dividend	K	T					
31. American Funds Euro Growth Fnd AEGFX	B	Dividend	K	T					
32. Fairhome Fund FAIZX	B	Dividend	K	T					
33. First Eagle Sogen Fds SGIIX	B	Dividend	K	T					
34. Growth Fnd America GFAFX	D	Dividend	M	T					

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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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35. Janus Perkins Mid CapValue Fd Inv JMVAX	C	Dividend	K	T					
36. Legg Mason Ptrs Equity Tr SAGYX	D	Dividend	M	T					
37. Loomis Sayles Invt Fds Bond Fd LBSRX	B	Dividend	K	T					
38. PIMCO FDS Pac Invt Mgmt Ser Total Return Fd Instl Cl PTRRX	C	Dividend	K	T					
39. Davis NY Venture Fd Inc Cl Y DNVYX	D	Dividend	M	T					
40. MCF SPDR Gold Tr Gold Shares GLD (Trust #1)		None			Sold	03/11/13	K	D	
41. MFO Pimco Fds Pac Invt Mgmt PCRIX (Trust #1)	A	Dividend			Sold	03/12/13	J	A	
42. MFO Vanguard Fixed Inc Secs VIPSX (Trust #1)	A	Dividend	K	T					
43. MFC Ishares Tr MSCI Emerg Mks EEM (Trust #1)	A	Dividend	K	T					
44. MFB N Funds Stk Index Fd NOSIX (Trust #1)	D	Dividend	N	T	Buy (add'l)	03/11/13	N		
45. MFB N Multi Mgr Mid Cap Fd NMMCX (Trust #1)	A	Dividend			Sold	03/11/13	L	D	
46. Frontier Communications Common Stock	A	Dividend	J	T					
47. Huntington Ingalls Industries Stock	A	Dividend	J	T					
48. MFC Shares Tr Barclays Fd CSJ (Trust #1)	A	Dividend	L	T					
49. MFC Ishares Tr Dow Fd DVY (Trust #1)	A	Dividend			Sold	03/11/13	L	D	
50. MFB Northern Fds NMMLX (Trust #1)	A	Dividend			Sold	03/11/13	M	A	
51. MFB Northern Fds Bd Index Fd NOBOX (Trust #1)	A	Dividend			Sold	03/11/13	K	A	

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52. MCF Shares TR MSCI EAFE ETF EFA (Trust #1)	B	Dividend	L	T	Buy	03/11/13	L		
53. MCF Flexshr TR Morningstr Gbl Upstm Nat Res Indx Fd GUNR (Trust #1)	A	Dividend	K	T	Buy	03/11/13	K		
54. MFB Northern FDS Global Real Estate Index Fd NGREX (Trust #1)	B	Dividend	K	T	Buy	03/11/13	K		
55. MFB Northern Mid Cap Index Fd NOMIX (Trust #1)	A	Dividend	K	T	Buy	03/11/13	K		
56. MFB Northern Fds Small Cap Index Fd NSIDX (Trust #1)	A	Dividend	K	T	Buy	03/11/13	K		
57. MFC Flexshr Tr IBOX 3yr Target Duration Tips Index Fd TDDT (Trust #1)	A	Dividend	J	T	Buy	03/11/13	J		
58.									
59.									
60.									
61.									
62.									
63.									

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

Various stocks (including, but not limited to, Centurylink, American Electric, Northrup Grumman, and Fairpoint) 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 trust was established pursuant to Judge Kleinfeld's [REDACTED] plan, with [REDACTED] 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.

The AK State Housing Fin Corp \$25,000 bond was redeemed in 2012 and inadvertently not recorded on the 2012 FDR.

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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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Washington, D.C. 20544