

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/17/2017
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 1/1/2016 to 12/31/2016
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.		
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.	

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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. 3/17-19	University of Montana Foundation -Teaching	\$1,500.00
2. 3/30-4/2	Univ. of Texas-Teaching	\$5,000.00
3. 9/28-30	UNC School of Law	\$4,519.20
4. 10/13-14	Northwestern School of Law-Teaching	\$500.00
5. 9/1-12/31	NYU School of Law-Teaching	\$15,850.00
6.		

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. 2016	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. American College of Trial Lawyers	3/3-12	Maui, HI	Speaking	Travel & Lodging self & spouse
2. Montana Law Review	3/17-19	Missoula, Montana	Teaching	Travel & Lodging
3. University of Texas School of Law	3/30-4/2	Austin, TX	Teaching	Travel & Lodging
4. Yale Law School	4/9-12	New Haven, CT.	Speaking	Travel & Lodging

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5.	U.C. Berkeley School of Law	5/17-20	Berkeley, CA	Speaking	Travel & Lodging
6.	Yale Law School (NYC Bar Assoc. Panel)	6/12/-14	New York, NY	Speaking	Travel & Lodging
7.	The Fund for American Studies	7/8-12	Arlington, CA	Speaking	Travel & Lodging
8.	Oregon Coastal Caucus	8/8-9	North Bend, OR	Speaking	Travel & Lodging
9.	NYU School of Law	8/31/-9/1	New York, NY	Teaching	Travel & Lodging
10.	NYU School of Law	9/10-13	New York, NY	Teaching	Travel & Lodging self & spouse
11.	Yale Law School	9/13-15	New Haven, CT	Speaking	Travel & Lodging self & spouse
12.	NYU School of Law	9/15-17	New York, NY	Teaching	Travel & Lodging self & spouse
13.	Loeb & Loeb IP/Entertainment Law Conference	9/20-21	Los Angeles, CA	Speaking	Parking
14.	CBS-60 Minutes	9/27-28	New York, NY	Interview	Travel & Lodging
15.	UNC Law School	9/28-30	Raleigh/Durham, NC	Teaching	Travel & Lodging
16.	NYU School of Law	9/30-10/4	New York, NY	Teaching	Travel & Lodging
17.	Northwestern School of Law	10/13-14	Chicago, Ill.	Teaching	Travel & Lodging
18.	Assoc. of Corporate Counsel	10/17	San Francisco, CA	Speaking	Travel & Lodging
19.	Univ. of Minnesota School of Law	10/20-21	Minneapolis, MN	Speaking	Travel & Lodging
20.	Cardoza Law School	10/26-11/5	New York, NY	Speaking	Travel & Lodging self & spouse
21.	NYU School of Law	11/9-11	New York, NY	Teaching	Travel & Lodging
22.	NYU School of Law	11/27-12/3	New York, NY	Teaching	Travel & Lodging self & spouse
23.	NYU School of Law	12/7-10	New York, NY	Teaching	Travel & Lodging self & spouse
24.	NYU School of Law	12/19-31	New York, NY	Teaching	Travel & Lodging self & spouse
25.					
26.					
27.					

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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. 121 SHS STANCORP			J	T	Sold	03/09/16	K	E	
2. DREYFUS MUNI MONEY MARKET FUND	A	Interest	L	T					
3. SCHWAB MONEY MARKET FUND	A	Interest	N	T					
4. Fidelity Cash Reserves(FDRXX)	A	Interest	K	T					
5. TIP	A	Dividend	K	T					
6. HYG	A	Dividend	K	T					
7. BND	A	Dividend	J	T					
8. VWO	A	Dividend	K	T					
9. VGK	A	Dividend	K	T					
10. VPL	A	Dividend	K	T					
11. VNQ	A	Dividend	J	T					
12. VB	A	Dividend	J	T					
13. SPDR	A	Dividend	J	T					
14. (PTR) HISTORIC PRE. PROP.	A	Interest	J	U					
15. (PTR) WINGATE HSG. II	A	Interest	J	U					
16. Malaga Bank Premier Market	A	Interest	N	T					
17. Chase Bank-Chase Plus Savings & Checking	A	Interest	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	

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

Part VII

Line 14. The 2015 report indicated that this investment was sold, however it was only partially sold (it was held in two different accounts, one of which was sold), which is why it is still included in this report.

Line 16-17. These accounts were not previously disclosed due to a misreading of the instructions with respect to disclosing bank accounts. I have undertaken to obtain the relevant information for prior years, which is included below:

Malaga Bank: Premier Market Account

Year	Income	Type	Gross Value	Value Method
2010	A	Interest	N	T
2011	A	Interest	N	T
2012	A	Interest	N	T
2013	A	Interest	N	T
2014	A	Interest	N	T
2015	A	Interest	N	T

Chase Bank: Chase Plus Savings (Opened in 2011) & Interest Checking Account (Opened in 2010)

2010	A	Interest	K	T
2011	A	Interest	K	T
2012	A	Interest	K	T
2013	A	Interest	K	T
2014	A	Interest	K	T
2015	A	Interest	K	T

AMENDMENT

Part VII

Line 1

These 121 shares were automatically issued to life insurance policy holders when The Standard, a life insurance company, became a publicly traded company, and were not held in a brokerage account and were not actively bought or sold.

The records were maintained by the company's transfer agent.

Apparently there was a stock split in 2005 of which I was not aware, so the total amount of shares was actually 242. The company was acquired in 2016 by Meiji Yasuda Life Insurance Company which retired the shares.

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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/ **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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