

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 07/19/2018
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 01/01/2017 to 12/31/2017
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. 2017	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. 2017	State of Alaska, Permanent Fund Dividend	\$1,100.00
2. 2017	Metropolitan Life Insurance Co. (lifetime annuity)	\$21,936.00
3. 2017	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. 2017	State of Alaska - Permanent Fund Dividend
2. 2017	State of Alaska - Retirement
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.				
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. Deutsche CROCI International Fund - A	C	Dividend	M	T					
4. Keogh Plan - Administered by ABA Stable Asset Return Fund	D	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. IRA Rollover Plan w/ Vanguard Tot Intl Stock Ix Admiral	B	Int./Div.	L	T					
8. IRA Rollover Plan w/ Vanguard Total Stock Mkt Idx Adm	D	Int./Div.	O	T					
9. 403(b) Plan w/ Vanguard Total Int'l Stock Ix Inv	A	Int./Div.	J	T					
10. 403(b) Plan w/ Vanguard Total Stock Mkt Idx Inv	A	Int./Div.	K	T					
11. Centurylink Common Stock, was Qwest	A	Dividend	J	T					
12. Am Elect Power Common Stock	D	Dividend	M	T					
13. Northrop Grumman, Common Stock	D	Dividend	O	T					
14. Denali State Bank Accounts	A	Interest	N	T					
15. U.S. Savings Bonds (Trust #1)	F	Interest			Redeemed	08/22/17	M	F	
16. MetLife Policyholder Trust (MetLife Stock)	A	Dividend	J	T					
17. Northern Income Equity Fund NOEX (Trust #1)	C	Dividend	M	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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18. TIAA-CREF Retirement Annuity TIAA Traditional	D	Int./Div.	M	T					
19. TIAA-CREF Retirement Annuity Cref Sock R2	D	Int./Div.	M	T					
20. Northern Money Mrt Account (Trust #1)	A	Interest	M	T					
21. Transamerica Whole Life Policy	B	Interest	K	T					
22. Transamerica Whole Life Policy	C	Interest	L	T					
23. Wells-Evergreen Money Market	A	Interest	J	T					
24. Fidelity Investments Deferred Comp Fid Balanced K	B	Interest	K	T					
25. Fairpoint Communication, Inc Stock (y)									
26. Signator Financial Services (Formerly Symetra Inv Serv) Cash Acct (y)									
27. American Funds Euro Growth Fnd AEGFX	B	Dividend	K	T					
28. First Eagle Sogen Fds SGLIX	B	Dividend	K	T					
29. Growth Fnd America GFFFX	D	Dividend	M	T					
30. Legg Mason Ptrs Equity Tr SAGYX	D	Dividend	M	T					
31. Loomis Sayles Invt Fds Bond Fd LBSRX	B	Dividend	K	T					
32. PIMCO FDS Pac Invt Mgmt Ser Total Return Fd Instl Cl PTRRX	A	Dividend	K	T					
33. Davis NY Venture Fd Inc Cl Y DNVYX	D	Dividend	M	T					
34. Vanguard index tr mid cap index fd admiral sh VIMAX	B	Dividend	M	T					

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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	
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35. MFO Vanguard Fixed Inc Secs VIPSX (Trust #1)	A	Dividend	K	T					
36. MFC Ishares Tr MSCI Emerg Mks EEM (Trust #1)	A	Dividend	K	T					
37. MFB N Funds Stk Index Fd NOSIX (Trust #1)	D	Dividend	O	T					
38. Frontier Communications Common Stock	A	Dividend	J	T					
39. Huntington Ingalls Industries Stock	A	Dividend	J	T					
40. MFC Shares Tr Barclays Fd CSJ (Trust #1)	A	Dividend	L	T					
41. MCF Shares TR MSCI EAFE ETF EFA (Trust #1)	B	Dividend	L	T					
42. MCF Flexshr TR Morningstr Gbl Upstm Nat Res Indx Fd GUNR (Trust #1)	A	Dividend	K	T					
43. MFB Northern FDS Global Real Estate Index Fd NGREX (Trust #1)	B	Dividend	K	T					
44. MFB Northern Mid Cap Index Fd NOMIX (Trust #1)	A	Dividend	K	T					
45. MFB Northern Fds Small Cap Index Fd NSIDX (Trust #1)	A	Dividend	K	T					
46. MFC Flexshr Tr IBOX 3yr Target Duration Tips Index Fd TDDT (Trust #1)	A	Dividend	J	T					
47. MCF Flexshr Tr Stoxx GLB Broad Infrastructure Index FD (NFRA)	B	Dividend	K	T					

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

Various stocks (including, but not limited to, Centurylink, American Electric, and Northrup Grumman, 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 parents' estate plan, with his children 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.

Part VII, line 25, Fairpoint Communication Stock is worthless, as the company assets were purchased in 2016 by Consolidated Communication.

Part VII line 26, Signator Financial Services Cash Account has been closed, but the exact date is unknown. The account was used for holding moneys from investments and has not had any money in it for approximately two years.

Part VII, line 29, Growth Fnd America GFFFX was incorrectly named GFAFX in last year's Report.

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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