

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2010**

<b>1. Person Reporting (last name, first, middle initial)</b>  Kozinski, Alex	<b>2. Court or Organization</b>  Ninth Circuit Court of Appeals	<b>3. Date of Report</b>  06/13/2011
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  Circuit Judge - Active	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2010 to 12/31/2010
<b>7. Chambers or Office Address</b>  125 S. Grand Avenue Suite 200 Pasadena, CA 91105	<b>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.</b>  Reviewing Officer _____ Date _____	
<b>IMPORTANT NOTES:</b> <i>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>		

**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. 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.)*

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.		
2. Feb. 3-6	Vanderbilt Univ. Law School-Lecture Fee	\$1,300.00
3. March 18	St. John's Law Review-Constitutional Law Panel	\$2,000.00
4. Oct. 22	DePaul University	\$2,000.00

**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. 1/1-12/31	Self-employed as 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.	Chancery Club of Los Angeles	Jan. 7	Los Angeles	Speaking Engagement	Lunch
2.	Vanderbilt Univ. Law School	Feb. 3-6	Nashville, TN	Speaking Engagement	Travel & Lodging
3.	Santa Cruz County Immigration Lawyers	Feb. 26	Santa Cruz	Speaking Engagement	Lunch
4.	Federal Bar Association	March 11	Los Angeles	Speaking Engagement	Lunch
5.	St. John's Law Review	March 17-19	Queens, NY	Speaking Engagement	Travel & Lodging
6.	Federal Bar Association	March 24	San Francisco, CA	Speaking Engagement	Lunch

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7. American Academy of Appellate Layers	April 8-9	Phoenix, AZ	Speaking Engagement	Travel & Lodging
8. Fordham Univ School of Law, Intellectual Property, Media & Entertainment Law Journal	April 23-27	New York, NY	Speaking Engagement	Travel & Lodging for Self and Spouse
9. Univ. of Chicago Federalist Society	May 16-18	Chicago, IL	Speaking Engagement	Travel & Lodging
10. University of Calif., Santa Barbara	May 20-21	Santa Barbara, CA	Speaking Engagement	Travel & Lodging
11. Los Angeles Federalist Society	June 4	Los Angeles, CA	Speaking Engagement	Dinner
12. Association of Business Trial Lawyers	Sept. 27-28	San Diego, CA	Speaking Engagement	Travel & Lodging
13. Los Angeles Copyright Society	Oct. 13	Los Angeles, CA	Speaking Engagement	Dinner
14. DePaul University	Oct. 20-22	Chicago, IL	Speaking Engagement	Travel & Lodging
15. Virginia Law Review	Oct. 22-23	Charlottesville, VA	Speaking Engagement	Travel & Lodging
16. Federalist Society-Univ. of Calif. Berkeley	Nov. 3	Berkeley, CA	Speaking Engagement	Lunch
17. The Independent Institute	Dec. 9-10	Oakland, CA	Speaking Engagement	Travel & Lodging
18. Los Angeles Association of Tax Counsel	Dec. 6	Los Angeles, CA	Speaking Engagement	Dinner

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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.)

1.	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)
	SANMINA-SCI	A	Dividend	J	T					
	STANCORP	A	Interest	J	T					
	DREYFUS MUNI MONEY MARKET FUND	D	Interest	N	T					
	COCA COLA (KO)	A	Dividend	J	T					
	SCHWAB MONEY MARKET FUND	A	Interest	J	T					
	SEP. TRDG. REG.	A	Interest			Redeemed	08/15/10	K	D	
	[*]SCHWAB MONEY MARKET FUND(SWMXX)	A	Interest	J	T					
	Fidelity Cash Reserves(FDRXX)	A	Interest	K	T	Buy (add'l)	04/09/10	K		
	TIP		None	J	T	Sold (part)	08/03/10	K	A	
	HYG		None	J	T	Sold (part)	08/03/10	K	A	
	GDX		None	M	T	Buy (add'l)	07/27/10	L		
						Buy (add'l)	08/30/10	L		
						Sold (part)	08/03/10	J	A	
	BND		None	J	T	Sold (part)	08/03/10	K	A	
	VVO		None	J	T	Sold (part)	08/03/10	J	A	
	VGK		None	J	T	Sold (part)	08/03/10	J	A	
	VPL		None	J	T	Sold (part)	08/03/10	J	A	

1. Income Gain Codes: A=\$1,000 or less B=\$1,001 - \$2,500 C=\$2,501 - \$5,000 D=\$5,001 - \$15,000 E=\$15,001 - \$50,000  
 (Sec 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  
 (Sec 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  
 3. Value Method Codes Q=Appraisal R=Cost (Real Estate Only) S=Assessment T=Cash Market  
 (Sec Column C2) U=Book Value V=Other W=Estimated

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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)
18. VNQ		None	J	T	Sold (part)	08/03/10	J	A	
19. VB		None	J	T	Buy (add'l)	03/08/10	L		
20.					Buy (add'l)	04/09/10	K		
21.					Sold (part)	07/27/10	L	A	
22.					Sold (part)	08/03/10	K	A	
23.					Sold (part)	08/06/10	K	A	
24. SCHO		None			Buy	08/12/10	L		
25.					Sold	08/26/10	L	A	
26. VTI		None	J	T	Sold (part)	08/02/10	K	A	
27. VNQ		None			Sold	07/27/10	L	D	
28. TIP		None			Sold	03/08/10	M		
29. IBOXX		None			Sold	04/09/10	K	A	
30. (PTR) HISTORIC PRE. PROP.	A	Interest	J	U					
31. (PTR) WINGATE HSG. II	A	Interest	J	U					

1. Income Gain Codes:  
(See Columns B 1 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 C 1 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 C 2)

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.)*

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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 WILFULLY 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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