

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2011**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<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>  07/11/2012
<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>  01/01/2011 to 12/31/2011
<b>7. Chambers or Office Address</b>  125 S. Grand Avenue Suite 200 Pasadena, CA 91105		
<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. Insert signature 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. March 14	Moving Picture Industry - ASIS International/CSO Roundtable - Lecture Fee	\$2,000.00
3. April 4-7	Texas Tech School of Law - Lecture Fee	\$5,000.00
4. April 11	Golden Gate Univ. School of Law - Lecture Fee	\$2,000.00
5. Oct. 25-27	U.C. Davis School of Law - Lecture Fee	\$5,000.00

**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 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. Santa Clara's Ingram Symposium	Jan. 12.	Santa Clara, CA.	Speaking Engagement	Travel
2. Univ. of Penna. School of Law	Feb 2-4	Philadelphia, PA.	Speaking Engagement	Travel & Lodging
3. New York University	Feb. 26-28	New York, NY	Speaking Engagement	Travel & Lodging for Self and Spouse
4. Santa Clara University	March 4-5	Santa Clara, CA	Speaking Engagement	Travel & Lodging for Self and Spouse
5. ACLU	March 5-6	Redding, CA	Speaking Engagement	Travel & Lodging for Self and Spouse

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6. Cardozo Society/Columbus Jewish Federation	March 8-9	Columbus, OH	Speaking Engagement	Travel & Lodging
7. LA Federal Bar Association	March 10	Los Angeles, CA	Speaking Engagement	Lunch
8. Texas Tech School of Law & Federalist Society	April 4-7	Lubbock, TX	Speaking Engagement	Travel & Lodging
9. Harvard Law School Federalist Society	April 20-22	Cambridge, Massachusetts	Speaking Engagement	Travel & Lodging
10. IPSANZ Conference	Aug 26-Sept. 6	Auckland, New Zealand & Sydney, Australia	Speaking Engagement	Travel & Lodging for Self and Spouse
11. Santa Clara Univ. School of Law	Sept 9-11	Santa Clara, CA	Speaking Engagement	Travel & Lodging for Self and Spouse
12. CATO Institute	Sept. 15-16	Washington, D.C.	Speaking Engagement	Lodging & Meals
13. William & Mitchell School of Law Federalist Society	Sept. 25-26	St. Paul, Minnesota	Speaking Engagement	Travel & Lodging
14. Santa Monica Bar Assoc.	Oct. 18	Santa Monica, CA	Speaking Engagement	Dinner
15. U.C. Davis School of Law	Oct. 25-27	Davis, CA	Speaking Engagement	Travel & Lodging
16. Columbia Law School Federalist Society	Oct. 30-31	New York, NY	Speaking Engagement	Travel & Lodging
17. Yale Law School	Nov. 1-2	New Haven, CT	Speaking Engagement	Travel & Lodging

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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) 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. [REDACTED] SANMINA-SCI	A	Dividend	J	T				
2. [REDACTED] STANCORP	A	Interest	J	T					
3. DREYFUS MUNI MONEY MARKET FUND	D	Interest	N	T					
4. [REDACTED] COCA COLA (KO)					Sold	08/13/10	K	A	
5. SCHWAB MONEY MARKET FUND	A	Interest	J	T					
6. ["SCHWAB MONEY MARKET FUND(SWMXX)	A	Interest	J	T					
7. Fidelity Cash Reserves(FDRXX)	A	Interest	K	T					
8. TIP		None	K	T					
9. HYG		None	K	T					
10. GDX		None	M	T					
11. BND		None	J	T					
12. VWO		None	J	T					
13. VGK		None	J	T					
14. VPL		None	J	T					
15. VNQ		None	J	T					
16. VB		None	K	T					
17. VTI		None	K	T					

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  
 (See Columns B1 and D4)      F = \$50,001 - \$100,000      G = \$100,001 - \$1,000,000      H = \$1,000,001 - \$5,000,000      I = 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      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  
 (See 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 mt.)	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. (PTR) HISTORIC PRE. PROP.	A	Interest	J	U					
19. (PTR) WINGATE HSG. II	A	Interest	J	U					

- |  |  |  |  |  |                        |
|--|--|--|--|--|------------------------|
| 1 Income Gain Codes<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)       | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)        | Q =Appraisal<br>U =Book Value  | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated  | T =Cash Market   |                        |

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

Part VII Line 4 - Inadvertently omitted sale from the 2010 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 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  
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