UNITED STATES COURT OF APPEALS
FOR THE NINTH CIRCUIT

MICHAEL DALY HAWKINS
UNITED STATES CIRCUIT JUDGE

(602) 322-7310
[redacted]

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May 2, 2007

Honorable Ortrie D. Smith
Chair, Committee on Financial Disclosure
Judicial Conference of the United States
One Columbus Circle, N.E.
Washington, D.C. 20544

Dear Judge Smith:

Thank you for your letter of April 26, 2007. By this letter, I amend my Financial Disclosure reports for the years 2004-2006 with respect to Part VII. Investments and Trusts, and, in particular, Item 2. The description of that item should read:

401k held in an account with Northern Trust Bank of Arizona

Should the Committee require any further or more detailed information, I would be happy to supply it.

Sincer[redacted]

Michael Daly Hawkins

THE SANDRA DAY O'CONNOR COURTHOUSE
401 WEST WASHINGTON STREET, SUITE 510 • SPC 47 • PHOENIX, ARIZONA 85003-2151

FOR CALENDAR YEAR 2006

*(5 U.S.C. app. §§ 101-111)*

| | | |
|---|---|---|
| **1. Person Reporting (last name, first, middle initial)**<br>Hawkins, Michael Daly | **2. Court or Organization**<br>Court of Appeals (9th Cir.) | **3. Date of Report**<br>03/29/2007 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)**<br>Active Judge | **5a. Report Type (check appropriate type)**<br>☐ Nomination, Date<br>☐ Initial ☒ Annual ☐ Final<br>**5b.** ☐ Amended Report | **6. Reporting Period**<br>01/01/2006<br>to<br>12/31/2006 |
| **7. Chambers or Office Address**<br>Sandra Day O'Connor Courthouse<br>401 W. Washington St., Rm. 510<br>Phoenix, AZ 85003-2151 | **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.**<br>**Reviewing Officer** | **Date** |

***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. Sign on last page.*

## I. POSITIONS. *(Reporting individual only; see pp. 9-13 of instructions.)*

☒ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 2. | | |
| 4. | | |
| 5. | | |

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## II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of instructions.)*

☐ NONE *(No reportable agreements.)*

| DATE | PARTIES AND TERMS |
|---|---|
| 1. 04/21/1997 | See Section VIII |
| 2. | |
| 3. | |

| Name of Person Reporting | Date of Report |
| --- | --- |
| Hawkins, Michael Daly | 03/29/2007 |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

### A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

| DATE | SOURCE AND TYPE | INCOME (yours, not spouse's) |
| --- | --- | --- |
| 1. 10/15/06 | West Publishing | $ 3,642.00 |
| 2. 08/31/06 | Seton Hall University | $ 5,200.00 |
| 3. | | |
| 4. | | |
| 5. | | |

### 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.)*

| DATE | SOURCE AND TYPE |
| --- | --- |
| 1. 12/31/05 | Business Income - Small Business Owner (Executive Recruiter) |
| 2. | |
| 3. | |
| 4. | |
| 5. | |

## IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*

☐ NONE *(No reportable reimbursements.)*

| | SOURCE | DESCRIPTION |
| --- | --- | --- |
| 1. | See Attachment to Part VIII | See Attachment to Part VIII |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

| Name of Person Reporting | Date of Report |
| --- | --- |
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## V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*

[X] NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
| --- | --- | --- | --- |
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*

[ ] NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
| --- | --- | --- | --- |
| 1. | Northern Trust Bank of Arizona | Credit Line | J |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
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## VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of the 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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Place "(X)" after each asset exempt from prior disclosure | (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 Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | (5) Identity of buyer/seller (if private transaction) |
| 1. Equity Value - [redacted] Business | A | None | M | W | | | | | |
| 2. 401 K | | Distribution | J | U | | | | | |
| 3. | | | | | | | | | |
| 4. | | | | | | | | | |
| 5. | | | | | | | | | |
| 6. | | | | | | | | | |
| 7. | | | | | | | | | |
| 8. | | | | | | | | | |
| 9. | | | | | | | | | |
| 10. | | | | | | | | | |
| 11. | | | | | | | | | |
| 12. | | | | | | | | | |
| 13. | | | | | | | | | |
| 14. | | | | | | | | | |
| 15. | | | | | | | | | |
| 16. | | | | | | | | | |
| 17. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Part II -- Agreement among Kevin OMalley, Jay Grenig, William Lee, Sidney Stein and Michael Hawkins for the preparation and editing of the 5th Edition of Federal Jury Practice & Procedure.

See Attached list of Trips and Seminars Reimubrsed or Paid for by Private Educational or Non-Profit Organizations

| Name of Person Reporting | Date 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** [redacted] **Date** 3/29/07

**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)**

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

Financial Disclosure Report for 2006
List of Trips and Seminars Reimbursed or Paid for by
Private Educational or Nonprofit Organizations

| SOURCE | DATE, LOCATION AND NATURE OF EXPENSES PROVIDED |
|---|---|
| Seton Hall University School of Law<br>Moot Court | March 22-24<br>Newark, New Jersey<br>Airline, Hotel, Ground Transportation and Some Meals |
| University of California - Davis<br>Moot Court | April 22<br>Davis, California<br>Airline, Ground Transportation And Meals |
| Southern Oregon Federal Bar Association | May 18-20<br>Klamath Falls, Oregon<br>Airline and Meals |
| Seton Hall University School of Law<br>Teaching | June 2-27<br>Milan and Parma, Italy<br>Airline and Stipend<br>(Included Spouse) |
| ABA 2006 Class Action National Institute | October 6<br>San Diego, CA<br>Airline, Ground Transportation and Meal |