AO 10 Rev. 1/2012	FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011	*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)	2. Court or Organization	3. Date of Report
Kleinfeld, Andrew J.	Ninth Circuit	08/06/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type** (check appropriate type)	**6. Reporting Period**
Senior Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2011 to 12/31/2011

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. Insert signature on last page.*

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

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
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.)*

DATE	PARTIES AND TERMS
1. 2011	ABA Members Retirement Program, no control
2.	
3.	

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Kleinfeld, Andrew J.	08/06/2012

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2011	State of Alaska, Permanent Fund Dividend	$1,174.00
2. 2011	Metropolitan Life Insurance Co. (Deferred Comp)	$21,936.00
3. 2011	Prudential Life Insurance Co. (Deferred Comp)	$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.)*

DATE	SOURCE AND TYPE
1. 2011	Self employed writer and educational consultant - See Part VIII
2. 2011	State of Alaska - Permanent Fund Dividend
3. 2011	State of Alaska - Retirement
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	The Federalist Society	October 15-17, 2011	San Francisco, CA	Speech to the Berkeley Federalist Society	Transportation, meals, hotel
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Kleinfeld, Andrew J.	08/06/2012

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (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. DWS Funds	C	Dividend	M	T					
4. Keogh Plan - Administered by ABA	E	Int./Div.	P1	T					
5. Black Rock Total Return Fund	D	Dividend	M	T					
6. 403(b) and IRA Rollover Plans w/ Vanguard	A	Int./Div.	N	T					
7. AT&T Common Stock	B	Dividend			Sold	12/20/11	K	D	
8. Qwest Common Stock (Now Centurylink)	A	Dividend	J	T					
9. Am Elect Power Common Stock	C	Dividend	L	T					
10. Verizon Common Stock	A	Dividend			Sold	12/12/11	J	B	
11. Northrop Grumman, Common Stock	C	Dividend	L	T					
12. Denali State Bank Accounts	A	Interest	M	T					
13. Morgan Stanley Global Infrastructure Fd UTLQX (Trust #1)	A	Interest			Sold	6/24/11	K	A	
14. U.S. Savings Bonds (Trust #1)	C	Interest	M	T					
15. Morgan Stanley Tax Exempt Sec Tr TAXDX (Trust #1)	A	Interest			Sold	5/19/11	L	A	
16. Franklin Fed Tax Free Inc Fd FKTIX (Trust #1)	B	Interest			Sold	5/19/11	M	A	
17. Franklin Tax Free Tr FKITX (Trust#1)	A	Dividend			Sold	5/19/11	K	A	

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

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Kleinfeld, Andrew J.	08/06/2012

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)	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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Met Life - Trust Interests	A	Dividend	J	T					
19. Northern Growth Equity Fund NOGEX (Trust #1)	B	Dividend			Sold	6/24/11	M	A	
20. Northern Income Equity Fund NOIEX (Trust #1)	B	Dividend	M	T					
21. Northern Int'l Growth Equity Fund NOIGX (Trust #1)	A	Dividend	K	T					
22. TIAA-CREF Retirement Annuity	A	Int./Div.	M	T					
23. Northern Money Mrt Account (Trust #1)	A	Interest	L	T					
24. Transamerica Whole Life Policy	B	Interest	K	T					
25. Transamerica Whole Life Policy	C	Interest	L	T					
26. AK State Housing Fin Corp	B	Interest	K	T					
27. Kitsap Cnty Wash GO	A	Interest	K	T					
28. Mat-Su AK Port	B	Interest	K	T					
29. Wells-Evergreen Money Market	A	Interest	J	T					
30. Fidelity Investments Deferred Comp	B	Interest	K	T					
31. Fairpoint Commumication, Inc stock	A	Dividend	J	T					
32. Symetra Invest Serv Cash Acct	A	Interest	J	T					
33. Calamus Growth Fund CGRIX	A	Dividend	K	T					
34. American Funds Euro Growth Fnd AEGFX	A	Dividend	K	T					

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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	
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Kleinfeld, Andrew J.	08/06/2012

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35. Fairhome Fund FAIZX	A	Dividend	K	T					
36. First Eagle Sogen Fds SGIIX	A	Dividend	K	T					
37. Growth Fnd America GFAFX	A	Dividend	L	T					
38. Janus Perkins Mid CapValue Fd Inv JMVAX	A	Dividend	K	T					
39. Legg Mason Ptrs Equity Tr SAGYX	A	Dividend	L	T					
40. Loomis Sayles Invt Fds Bond Fd LBSRX	B	Dividend	K	T					
41. PIMCO FDS Pac Invt Mgmt Ser Total Return Fd Instl Cl PTTRX	A	Dividend	K	T					
42. Davis NY Venture Fd Inc Cl Y DNVYX	B	Dividend	L	T					
43. MCF SPDR Gold Tr Gold Shares GLD (Trust #1)		None	K	T	Buy (add'l)	5/19/11	K		
44. MFO Pimco Fds Pac Invt Mgmt PCRIX (Trust #1)	A	Dividend	J	T					
45. MFO Vanguard Fixed Inc Secs VIPSX (Trust #1)	A	Dividend	K	T					
46. MFC Ishares Tr MSCI Emerg Mks EEM (Trust #1)	A	Dividend	K	T					
47. MFB N Funds Stk Index Fd NOSIX (Trust #1)	B	Dividend	M	T	Buy (add'l)	6/24/11	L		
48. MFB N Multi Mgr Mid Cap Fd NMMCX (Trust #1)	A	Dividend	L	T	Buy (add'l)	5/19/11	K		
49. Frontier Communications Common Stock	A	Dividend	J	T					
50. Huntington Ingalls Industries Stock	A	Dividend	J	T	Spinoff (from line 11)	3/31/11	J		
51. MFC Shares Tr Barclays Fd CSJ (Trust #1)	A	Dividend	L	T	Buy	6/24/11	L		

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52. MFC Ishares Tr Dow Fd DVY (Trust #1)	B	Dividend	L	T	Buy	6/24/11	L		
53. MFB Northern Fd NMMLX (Trust #1)	B	Dividend	M	T	Buy	6/24/11	M		
54. MFB Northern Fds Bd Index Fd NOBOX (Trust #1)	A	Dividend	K	T	Buy	6/24/11	K		
55.									

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

Various stocks (including, but not limited to, Qwest, American Electric, AT&T, Northrup Grumman, Fairpoint, and Verizon) 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 [redacted] state plan, with his [redacted] 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.

In 2011 Person Reporting's [redacted] eceived compensation and royalties for articles written, research provided, or conferences attended from the University of Alaska

Name of Person Reporting	Date of Report
Kleinfeld, Andrew J.	08/06/2012

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544