GOODWIN LIU
Professor of Law
[redacted]

BerkeleyLaw
UNIVERSITY OF CALIFORNIA
Boalt Hall

January 5, 2011

The Honorable Patrick J. Leahy
Chairman
Committee on the Judiciary
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

I have reviewed the Senate Questionnaire and supplemental submissions I previously filed in connection with my nomination on February 24, 2010, to be United States Circuit Judge for the Ninth Circuit. I have also reviewed the September 13, 2010 letter I submitted in connection with my renomination on that date. With the following exceptions, I certify that the information contained in my prior submissions is, to the best of my knowledge, true and accurate.

- I no longer serve on the board of directors of the American Constitution Society, having completed my term of service at the end of 2010 (Questions 6 & 11).

- I no longer serve on the board of directors of the Alliance for Excellent Education, having completed my term of service at the end of 2010 (Questions 6 & 11).

- I will be teaching Contemporary Issues in Constitutional Law during the spring 2011 semester. The syllabus is not completed yet, but it will be similar to the spring 2009 syllabus for the same course, which I previously submitted to the Committee (Question 19).

I also am forwarding an updated Net Worth Statement and Financial Disclosure Report as requested in the Questionnaire. I thank the Committee for its consideration of my nomination.

Sincerely,

Goodwin Liu

cc: The Honorable Charles E. Grassley
Ranking Member
Committee on the Judiciary
United States Senate
Washington, DC 20510

AO 10 Rev. 1/2008	**FINANCIAL DISCLOSURE REPORT** **NOMINATION FILING**	*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) Liu, Goodwin H.	**2. Court or Organization** U.S. Court of Appeals for the Ninth Circuit	**3. Date of Report** 1/5/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Nominee	**5a. Report Type** (check appropriate type) ☑ Nomination, Date 1/5/2011 ☐ Initial ☐ Annual ☐ Final **5b.** ☐ Amended Report	**6. Reporting Period** 1/1/2010 to 12/31/2010
7. Chambers or Office Address UC Berkeley School of Law Berkeley, CA 94720-7200	**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.** 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 filing instructions.)*

☐ NONE *(No reportable positions.)*

POSITION	NAME OF ORGANIZATION/ENTITY
1. Member, Board of Trustees	Stanford University
2. Member, Board of Directors (I previously served as Secretary and as Chair)	American Constitution Society for Law and Policy
3. Member, Board of Directors	Public Welfare Foundation
4. Member, Board of Directors	National Women's Law Center
5. Member, Board of Directors	Alliance for Excellent Education

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

☐ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1. 8/4/09	Oxford University Press book contract - 10% royalties on first 5,000 sold (higher % thereafter), split evenly with 2 co-authors
2.	
3.	

Name of Person Reporting	Date of Report
Liu, Goodwin H.	1/5/2011

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. 2010	University of California - salary	$194,921.00
2. 2010	San Francisco Unified School District - legal consulting	$10,042.50
3. 2010	Public Welfare Foundation - director's fee	$6,000.00
4. 2010	University of San Diego - honorarium	$200.00
5. 2009	Univerity of California - salary	$241,102.05
6. 2009	San Francisco Unified School District - legal consulting	$5,703.75
7. 2009	Public Welfare Foundation - director's fee	$6,000.00
8. 2009	Oxford University Press - book advance	$500.00
9. 2009	Georgetown University - honorarium	$500.00
10. 2009	University of Arkansas, Fayetteville - honorarium	$250.00
11. 2009	University of San Diego - honorarium	$200.00

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.)*

DATE	SOURCE AND TYPE
1. 2010	University of California - salary
2. 2010	Center for American Progress - consulting
3. 2010	American Prospect - honorarium ($1,000)
4. 2009	University of California - salary
5. 2009	Center for American Progress - consulting
6. 2009	Princeton University - honorarium ($15,000)
7. 2009	San Francisco Chronicle - honorarium ($150)

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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.	EXEMPT				
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Liu, Goodwin H.	1/5/2011

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	EXEMPT		
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
Liu, Goodwin H.	1/5/2011

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. - Chesapeake Core Growth	A	Dividend	K	T	Exempt				
2. - Fidelity Large Cap Stock	A	Dividend	K	T					
3. - Harbor Capitol Appreciation	A	Dividend	K	T					
4. - Vanguard PrimeCap Core	A	Dividend	L	T					
5. - Fidelity Puritan	A	Dividend	K	T					
6. - Oakmark	A	Dividend	K	T					
7. - Vanguard Value Trust Index	A	Dividend	K	T					
8. - SPDR Midcap	A	Dividend	K	T					
9. - Fidelity Low Priced Stock	A	Dividend	L	T					
10. - Royce Value Plus Service	A	Dividend	K	T					
11. - Artio International Equity A	C	Dividend	K	T					
12. - Dodge and Cox International	A	Dividend	K	T					
13. - Fidelity Money Market	A	Dividend	M	T					
14. - Fidelity Ginnie Mae	B	Dividend	K	T					
15. - Fidelity VIP Contrafund	A	Dividend	K	T					
16. - Fidelity VIP Equity-Income	A	Dividend	J	T					
17. - Fidelity VIP Mid Cap	A	Dividend	K	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	

Name of Person Reporting	Date of Report
Liu, Goodwin H.	1/5/2011

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. - Fidelity Intermediate Bond	A	Dividend	J	T					
19. - Dodge and Cox Income	A	Dividend	J	T					
20. - Selected American Shares	A	Dividend	J	T					
21. - Fidelity Midcap Stock	A	Dividend	K	T					
22. - Fidelity Small Cap	A	Dividend	K	T					
23. - Fidelity Diversified International	A	Dividend	K	T					
24. - Vanguard Emerging Market Index	A	Dividend	K	T					
25. - Harbor Bond International	C	Dividend	K	T					
26. - TCW Dividend Focused N	A	Dividend	K	T					
27. - Third Avenue International Value	A	Dividend	K	T					
28. - Fidelity Inflation-Protected Bond	A	Dividend	K	T					
29. - Fidelity Capital Appreciation	A	Dividend	K	T					
30. - Fidelity Growth and Income	A	Dividend	K	T					
31. - Fidelity International Small Cap	A	Dividend	J	T					
32. - Fidelity Real Estate Investment	A	Dividend	J	T					
33. - UC Pathway 2040	A	Dividend	L	T					
34. - UC Balanced Growth	A	Dividend	L	T					

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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Liu, Goodwin H.	1/5/2011

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. - Fidelity Balanced	B	Dividend	L	T					
36. - Fidelity New Market Income	A	Dividend	K	T					
37.									

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

Name of Person Reporting	Date of Report
Liu, Goodwin H.	1/5/2011

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 ____________________

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

Goodwin Liu

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		127	217	Notes payable to banks-secured			
U.S. Government securities-add schedule				Notes payable to banks-unsecured			
Listed securities-add schedule		433	679	Notes payable to relatives			
Unlisted securities--add schedule				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable-add schedule		520	784
Real estate owned-add schedule		975	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		64	185				
Cash value-life insurance							
Other assets itemize:							
See attached schedule		690	807				
				Total liabilities		520	784
				Net Worth	1	770	104
Total Assets	2	290	888	Total liabilities and net worth	2	290	888
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	NO		
On leases or contracts				Are you a defendant in any suits or legal actions?	NO		
Legal Claims				Have you ever taken bankruptcy?	NO		
Provision for Federal Income Tax							
Other special debt							

FINANCIAL STATEMENT

NET WORTH SCHEDULES

Listed Securities	
Chesapeake Core Growth	$39,987
Fidelity Large Cap Stock	19,397
Harbor Capital Appreciation	35,633
Vanguard PrimeCap Core	18,733
Fidelity Puritan	35,460
Oakmark	40,611
Vanguard Value Trust Index	26,618
SPDR Midcap	49,404
Fidelity Low Priced Stock	56,793
Royce Value Plus Service	17,072
Artio International Equity A	38,901
Dodge and Cox International	24,277
Fidelity Ginnie Mae	30,793
Total Listed Securities	$433,679
Real Estate Owned	
Personal residence (estimate)	$975,000
Real Estate Mortgages Payable	
Personal residence	$520,784
Other assets: Retirement accounts	
University of California (UC) 403(b)	
Fidelity Inflation-Protected Bond	$37,484
Fidelity Capital Appreciation	26,003
Fidelity Growth and Income	20,155
Fidelity Small Cap Stock	15,595
Fidelity International Small Cap	14,246
Fidelity Real Estate Investment	13,571
Subtotal UC 403(b)	127,054
UC 457(b) UC Balanced Growth	99,691
UC Defined Contribution Plan (DCP) Fidelity Balanced	52,306
Fidelity Annuity	
Fidelity VIP Contrafund	16,235
Fidelity VIP Equity-Income	12,403
Fidelity VIP Mid Cap	21,665
Subtotal Fidelity Annuity	50,302

Pershing IRA	
Fidelity New Markets Income	15,539
Vanguard PrimeCap Core	18,278
Fidelity Low Priced Stock	7,633
Cash/Money Market	732
Subtotal Pershing IRA	42,182
Pershing Roth IRA	
Dodge and Cox Income	12,527
Vanguard PrimeCap Core	25,048
Selected American Shares	11,151
Fidelity Midcap Stock	24,165
Fidelity Small Cap	16,963
Fidelity Diversified International	15,270
Vanguard Emerging Market Index	39,681
Cash/Money Market	121
Subtotal Pershing Roth IRA	144,926
UC 403(b) UC Pathway 2040	35,967
UC 457(b) UC Pathway 2040	35,967
UC Defined Contribution Plan UC Pathway 2040	5,716
Fidelity Roth IRA	
Fidelity Capital Appreciation	2,304
Fidelity Cash Reserves	8
Subtotal Fidelity Roth IRA	2,312
Pershing Roth IRA	
Harbor Bond International	39,094
TCW Dividend Focused N	35,066
Third Avenue International Value	20,149
Cash/Money Market	75
Subtotal Pershing Roth IRA	94,384
Total Other Assets	$690,807