

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Bea, Carlos T.	2. Court or Organization U.S. Court of Appeals for the Ninth Circuit	3. Date of Report 07/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Court of Appeals for the Ninth Circuit 95 Seventh Street, Suite 205 San Francisco, CA 94103		
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.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Managing member	
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. 1/23/1990	Judges Retirement Systems, State of California (PERS)
2. 1/23/1990	City and County of San Francisco Deferred Compensation Plan (Aetna)
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2014		\$21,447.00
2. 2014	San Francisco Judges' Retirement	\$101,136.00
3.		
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.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Federalist Society	01/25/14	Simi Valley, California	Moderate panel	Travel and food
2. George Mason Law School	03/16-18/14	Washington D.C.	Attend class - Judge	Travel, hotel and food
3. Pennsylvania Law School - Federalist Society	11/17/1511/18/14	Philadelphia, Pennsylvania	Give Lecture	Travel and food
4. Federalist Society	11/13-15/14	Washington D.C.	Moderate panel	Travel, hotel, and food
5. St. Thomas More Society	10/20/14	Portland, Oregon	Give Lecture	Travel, hotel, and food

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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. FPA Associates, L.L.C., Newport Beach, CA	A	Distribution			Sold	06/06/14	M	A	
2. [REDACTED]	G	Distribution	O	W					See Note 1, Part VIII
3. Banco Santander	A	Interest	N	T					See Note 2, Part VIII
4. Trees (Spain)		None	N	W					See Note 3, Part VIII
5. UBS Money Fund, Inc. Deposit A/C	A	Interest	P2	T					
6. AT&T, Inc.	D	Dividend			Sold	10/06/14	M	E	
7. Caterpillar, Inc.	B	Dividend			Sold	10/06/14	L	E	
8. Chevron Corp.	C	Dividend			Sold	10/06/14	M	F	
9. Coco Cola	B	Dividend			Sold	10/06/14	L	E	
10. Dodge & Cox Stock Fund	A	Dividend	K	T					
11. EMC Corp.	B	Dividend			Sold	10/06/14	M	F	
12. Exxon Mobil Corp.	C	Dividend			Sold	10/06/14	M	F	
13. Freeport McMoran Copper & Gold Inc.	B	Dividend			Sold	10/06/14	L	A	
14. Ishares High Dividend	D	Dividend	M	T	Sold (part)	10/06/14	M	E	
15. IShares MSCI Fmtr	E	Dividend	N	T	Sold (part)	10/06/14	N	F	
16. IShare S&P Global Tele Index Fund	E	Dividend			Sold	10/06/14	N	F	
17. IShares US PFD Stock	D	Dividend			Sold	10/06/14	M	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 K = \$15,001 - \$50,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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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 I (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. McDonalds	B	Dividend			Sold	10/06/14	L	D	
19. Ishares MCSI USA Min	C	Dividend			Sold	10/06/14	M	E	
20. Pfizer, Inc.	D	Dividend			Sold	10/06/14	N	G	
21. Occidental Petroleum	C	Dividend			Sold	10/06/14	L	A	
22. Pepsico Inc		None			Buy (add'l)	07/14/14	K		
23. Pepisco Inc	C	Dividend			Sold	10/06/14	M	E	
24. Philip Morris	C	Dividend			Sold	10/06/14	L	E	
25. Procter & Gamble	B	Dividend			Sold	10/06/14	L	E	
26. Range Resources	A	Dividend			Sold	10/06/14	M	E	
27. YUM Brands, Inc.	B	Dividend			Sold	10/06/14	L	E	
28. SPDR Gold Trust	C	Distribution			Sold	10/06/14	P1	D	
29. Trust 1: IShares S&P Global Telecommunications	C	Dividend			Sold	10/06/14	L	D	
30. Trust 1: Dodge & Cox Stock Fund	A	Dividend			Sold	10/06/14	K	D	
31. Trust 1: IShares Gold Trust	A	Dividend			Sold	10/06/14	J	A	
32. Trust 1: UBS Money Market	A	Interest			Distributed	12/30/14	N	A	Included in Line 5
33. Trust 2: Mt Olive LLC	G	Distribution	O	W					
34. IRA Traditional: UBS Bank Deposit	A	Interest	N	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	

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	(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)

35. IRA Traditional: UBS Bank Deposit	A	Interest	L	T	Buy	10/06/14	L		From Sale of line 36
36. IRA Traditional: IShares Tradional: Russell 1000		None			Sold	10/06/14	L	E	
37. IRA Traditional: SPDR Gold Trust		None			Sold	10/06/14	N	A	
38. IRA Traditional: US Treasury TIP	C	Interest			Sold	04/15/14	N	A	
39. IRA Rollover: UBS Bank Deposit	A	Interest	J	T					
40. IRA Rollover: SPDR Gold Trust		None			Sold	10/06/14	J	A	
41. IRA Rollover: US Treasury TIP	C	Interest			Sold	04/15/14	N	A	
42. Ishares S&P 500 Growth	C	Dividend			Buy	01/28/14	N		
43. Ishares S&P 500 Growth		None			Sold	10/06/14	N	E	
44. IShares S&P Small Cap	C	Dividend			Buy	01/28/14	N		
45. IShares S&P Small Cap		None			Sold	10/06/14	N	A	
46. IShares Core MSCI Emerging	C	Dividend			Buy	01/28/14	N		
47. IShares Core MSCI Emerging		None			Sold	10/06/14	N	E	
48. SPDR S&P 500	A	Dividend			Buy	03/14/14	J		
49. SPDR S&P 500		None			Sold	10/06/14	J	A	

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

Note 1: Assessed value of [REDACTED] was determined by the Los Angeles County Assessor's Appeal Board.

Note 2: Banco Santander (Spain) has been open for a number of years with minimal amounts.

Note 3: Trees (Spain) located on family land (acquired 1959).

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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/ Carlos T. Bea**

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
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