AO 10
Rev. 1/2010

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009

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
Bea, Carlos T.	U.S. Court of Appeals for the Ninth Circuit	05/12/2010
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**
Circuit Judge (Active)	☐ Nomination, Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2009 to 12/31/2009
7. Chambers or Office Address	**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.**	
U.S. Court of Appeals for the Ninth Circuit 95 Seventh Street, Suite 205 San Francisco, CA 94103	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.	[redacted]	[redacted]
2.		
3.		
4.		
5.		

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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 System, State of California (PERS)
2.	1/23/1990	City and Country of San Francisco Deferred Compensation Plan (Aetna)
3.		

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Bea, Carlos T.	05/12/2010

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.	2009	[redacted]	$78,444.70
2.	2009	SF Judges Retirement	$97,193.00
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	1/23/09 - 1/25/09	Simi Valley, CA	Activity, Professional Association	Travel, lodging, food
2.	Pepperdine University	3/19/09 - 3/21/09	Malibu, CA	Law teaching	Travel, loding, food
3.	Heritage Foundation	4/22/09	Los Angeles, CA	Activity, Civic Association	Travel, loding, food
4.	Gruter Foundation	5/17/09 - 5/18/09	Squaw Valley, CA	Activity, Professional Association	Travel, loding, food, registration fee
5.	Federalist Society	11/11/09 - 11/15/09	Washington, D.C.	Activity, Professional Association	Travel, loding, food

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.	Visa credit cards: First USA Bank, N.A., per license from Visa USA	Charges for living expenses, including travel and tuition charges	K
2.			
3.			
4.			
5.			

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Bea, Carlos T.	05/12/2010

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. Dodge & Cox Stock Fund	A	Dividend	J	T					
2. Vanguard Cal. Inter. Tax Exempt	A	Dividend	J	T					
3. UBS Money Fund, Inc. Deposit A/C	A	Dividend	J	T					
4. Franklin Templeton Cal. Tax Exempt Fund CB	C	Dividend	N	T					
5. Franklin Templeton Cal. Tax Exempt Fund LB	A	Dividend	J	T					
6. Cal. St. GO Ambac 5.5% '09	C	Interest			Sold	08/03/09	L	A	
7. Cal. St. Veteran GO 5.75% '10	C	Interest			Sold	08/03/09	L	A	
8. Lassen Ca Mun Util Rev FSA 4.5% '11	C	Interest			Sold	08/03/09	L	A	
9. Los Angeles Co Met Serv 6% '11	C	Interest			Sold	08/03/09	L	C	
10. San Fran Int'l Airport 4% '10	C	Interest			Sold	08/03/09	L	A	
11. San Mateo Cnty Jr Pwr 3.6% '09	C	Interest			Sold	08/03/09	L	A	
12. Hummer/Winblad II Ltd. Part	A	Distribution	K	W					
13. FPA Campus Commons Associates, LLC	A	Distribution	J	W					
14. Ishare FTSE/Xin Hua	A	Dividend			Sold	06/10/09	M	E	
15. Ishare JP Morgan USD Bond Fund: EMB	D	Dividend	O	T					
16. SPDR Lehman Int'l Treasury Bond: BWX	A	Dividend	O	T					
17. SPDR S&P 500 ETF TR	D	Dividend			Sold (part)	03/09/09	N	E	

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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18. SPDR S&P 500 ETF TR	D	Dividend			Sold	08/09/09	O	E	
19. Ishare MSCI Canada Index FD	C	Dividend	N	T					
20. Ishare MSCI Switz Index FD	A	Dividend	N	T					
21. Ishare S&P Global Info Tech Index FD	A	Dividend	N	T					
22. Ishare S&P Global Tele Index FD	D	Dividend	N	T					
23. Currency Shares: Australian Dollar Trust SHS	B	Interest	M	T					
24. Currency Shares: British Pound Sterling Trust SHS	A	Interest	M	T					
25. Currency Shares: Swiss Franc Trust SHS	A	Interest	M	T					
26. Currency Shares: Japanese Yen Trust SHS	A	Interest	M	T					
27. U.S. Treasury Note 3.75% 10-15-09	D	Interest			Sold	08/03/09	M	A	
28. U.S. Treasury Note 3.625% 10-31-09	E	Interest			Sold	08/03/09	O	A	
29. Ishare S&P Global Fin. Index	A	Dividend			Sold	11/02/09	N	D	
30. I Path. DJ UBS Nat'l Gas Trust SUB	A	Dividend			Sold	11/02/09	M	A	
31. Powersshares DBA Agriculture	A	Dividend	M	T					
32. SPDR Gold Trust	A	Dividend	M	T					
33. [redacted]	G	Distribution	N	W					
34. IRA: US Treasury Note 3.375% 10-15-09	D	Interest			Sold	04/21/09	N	A	

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35. IRA: UBS Bank Deposit	A	Interest	J	T					
36. IRA: Ishares S&P Global IXG	A	Dividend	J	T					
37. IRA: Dodge & Cox Stock Fund	A	Dividend	J	T					
38. IRA: US Treasury Note Tip Infl.	D	Interest	N	T					
39. IRA: US Treasury Note 3.375% 10-15-09	A	Interest			Sold	04/21/09	L	A	
40. IRA: US Treasury Note 3.625% 10-03-09	A	Interest			Sold	04/21/09	N	A	
41. IRA: UBS Bank Deposit	A	Interest	J	T					
42. IRA: Ishares S&P Global IXG	A	Dividend	J	T					
43. IRA: Dodge & Cox Stock Fund	A	Dividend	J	T					
44. IRA: US Treasury Note Tip Infl.	D	Interest	N	T					

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

Name of Person Reporting	Date of Report
Bea, Carlos T.	05/12/2010

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 _____ MAY 12 2010

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