

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 06/23/2018
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 01/01/2017 to 12/31/2017
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. 2017	San Francisco Judges' Retirement	\$103,465.00
2.		
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	01/28/17	Simi Valley, California	Moderate panel	Travel and food
2. Appellate Judicial Attorneys Institute	04/05/17	Sacramento	Moderate panel	Travel and food
3. Federalist Society	11/16-18/17	Washington D.C.	Moderate panel	Travel, hotel and food
4. [REDACTED]	12/12/17	Pasadena, CA	Members meeting	Travel and food
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.)*

<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. [REDACTED]	G	Distribution	O	W					See Note 1, Part VIII
2. Banco Santander	A	Interest	K	T					See Note 2, Part VIII
3. Trees (Spain)		None	N	W					See Note 3, Part VIII
4. UBS Money Fund, Inc. Deposit A/C	A	Interest	P2	T					
5. Dodge & Cox Stock Fund	B	Dividend	K	T					
6. Ishares Core High Dividend	D	Dividend	N	T					
7. California St Gen Oblig 5%, due 04/01/20	B	Interest	K	T					
8. California St Pub Works, 5%, Due 04/01/20	C	Interest	L	T					
9. Cupertino Cal 5%, Due 08/01/20	B	Interest	K	T					
10. East Baay Ca Mud Water 4%, Due 06/01/21	A	Interest	K	T					
11. San Ramon Valley Cal 4%, Due 08/01/21	B	Interest	L	T					
12. California Pub Works 5%, Due 10/01/21	B	Interest	K	T					
13. State of California 5%, Due 10/01/21	B	Interest	K	T					
14. Los Angeles CA 5%, Due 06/01/22	B	Interest	L	T					
15. Napa Valley Ca 4%, Due 08/01/22	A	Interest	K	T					
16. Huntington Beach CA 5%, Due 08/01/22	B	Interest	K	T					
17. California St Pub Works 5%, Due 03/01/23	B	Interest	K	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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. San Francisco CA 5%, Due 06/15/23	B	Interest	K	T					
19. Huntington Beach CA 5%, Due 08/01/23	B	Interest	L	T					
20. Los Angeles CA 5%, Due 07/01/24	B	Interest	L	T					
21. Santa Clara CA 5%, Due 08/01/24	B	Interest	K	T					
22. California Infrastructure 5%, Due 10/01/24	B	Interest	K	T					
23. Los Angeles CA 5%, Due 07/01/25	B	Interest	K	T					
24. Pacific Grove CA 5%, Due 08/01/25	B	Interest	K	T					
25. Ukiah CA 4%, Due 08/01/25	B	Interest	L	T					
26. University of CA, 5%, Due 05/15/26	B	Interest	L	T					
27. Bay Area Water Supply, 5%, Due 10/01/26	C	Interest	L	T					
28. San Mateo CA 5%, Due 06/01/27	C	Interest	M	T					
29. Alameda County CA 5.250%, Due 12/01/27	C	Interest	L	T					
30. California St 5%, Due 08/01/28	B	Interest	K	T					
31. Bakersfield 5% Due 09/15/28	B	Interest	K	T					
32. California St 5%, Due 11/01/28	B	Interest	K	T					
33. Los Angeles CA 5%, Due 08/01/29	A	Interest	K	T					
34. Napa Valley 5%, Due 08/01/29	A	Interest	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	

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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 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. State of California 5.25%, Due 10/01/29	B	Interest	K	T					
36. Northern Ca Pwr 5%, Due 07/01/30	A	Interest	K	T					
37. Franklin Global Bond Fund	D	Dividend	O	T					
38. Franklin CA High Yield Muni	E	Dividend	N	T					
39. Adobe Systems		None	K	T	Buy	07/21/17	K		
40. Akamai Tech		None	K	T	Buy	07/21/17	K		
41. Alexion Phar		None	K	T	Buy	07/21/17	K		
42. Alphabet Inc CL A		None	K	T	Sold (part)	07/21/17	J	A	
43. Alphabet Inc CL C		None	K	T	Buy	07/21/17	K		
44. Altria Group	C	Dividend	M	T	Buy (add'l)	01/24/17	K		
45. Apple Inc	B	Dividend	L	T	Sold (part)	07/21/17	L	E	
46. Amazon.com		None	L	T	Buy	07/21/17	L		
47. American Express	A	Dividend	K	T	Buy	07/21/17	K		
48. Anheuser Busch	A	Dividend	K	T	Buy	07/21/17	K		
49. Berkshire Hathaway		None	K	T	Sold (part)	07/21/17	M	E	
50. Blackrock Inc	B	Dividend	L	T	Sold (part)	08/18/17	J	A	
51. British American Tobacco		None			Buy	07/25/17	K		

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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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52.					Sold	08/28/17	K	A	
53. Biogen		None	K	T	Buy (add'l)	07/21/17	K		
54. CA Inc	B	Dividend	L	T					
55. Carinval Corp	B	Dividend	L	T					
56. Celgene		None	K	T	Buy	10/27/17	K		
57. Chevron Corp	B	Dividend	L	T					
58. Chipotle Mexican		None	J	T	Buy	08/03/17	J		
59. Cinn Financial Corp	B	Dividend	L	T					
60. Cisco Systems	B	Dividend	L	T					
61. Crown Castle Int'l	B	Dividend	L	T	Buy	09/08/17	L		
62. Coca Cola Co	B	Dividend	L	T	Sold (part)	08/28/17	J	C	
63. Cognizant Tech		None			Sold	07/21/17	K	C	
64. Comcast	A	Dividend			Buy	07/21/17	J		
65.			K	T	Sold (part)	08/09/17	J	A	
66. Core Laboratories	A	Dividend			Sold	07/21/17	K	A	
67. Costco Wholesale	A	Dividend	K	T	Buy	07/21/17	K		
68. CVS Healthcare	A	Dividend	K	T	Buy	07/21/17	K		

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69. Dentsply Sirona	A	Dividend	K	T	Buy	07/21/17	K		
70. Diageo PLC	B	Dividend	L	T					
71. Dominion Resources	B	Dividend	K	T					
72. Duke Energy Corp	B	Dividend	K	T					
73. EBAY		None	J	T	Buy	07/21/17	J		
74. Ecolab Inc	A	Dividend	J	T	Buy	07/21/17	K		
75. Edwards Life Science		None			Buy	03/06/17	K		
76.					Sold	07/21/17	K	D	
77. Express Scripts		None			Sold	03/03/17	K	A	
78. Facebook Inc		None	K	T	Buy	07/21/17	K		
79. Fastenal		None			Sold	07/21/17	L	A	
80. General Dynamics	B	Dividend	M	T					
81. General Electric	C	Dividend	K	T	Sold (part)	08/28/17	K	D	
82. General Mills	B	Dividend	L	T					
83. Grainger WW	A	Dividend	K	T	Buy	07/21/17	J		
84. H&R Block	B	Dividend			Sold	03/02/17	K	A	
85. Hasbro Inc	B	Dividend	K	T					

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86. Home Depot	A	Dividend	K	T	Buy	07/21/17	K		
87. Honeywell Int'l	A	Dividend	K	T	Buy	07/21/17	K		
88. Intel Corp	B	Dividend	L	T					
89. Johnson & Johnson	A	Dividend	K	T	Buy	07/21/17	K		
90. Kinder Morgan	B	Dividend	K	T					
91. Kraft Heinz Co	B	Dividend			Sold	07/21/17	K	D	
92. LKQ Corp		None			Sold	01/26/17	K	C	
93. Lilly Ely & Co	B	Dividend	L	T					
94. Lowes Companies	B	Dividend	K	T					
95. MC Cormick & Co	A	Dividend	J	T	Buy	08/09/17	J		
96. Mead Johnson Nutrition	A	Dividend			Sold	02/02/17	K	B	
97. Merck & Co	B	Dividend	L	T					
98. Microsoft Corp	B	Dividend	K	T	Buy (add'l)	07/21/17	K		
99. Monsanto		None			Buy	07/21/17	J		
100.			K	T	Sold (part)	11/17/17	J	A	
101. Mosaic Co	B	Dividend			Sold	08/28/17	K	A	
102. Nasdaq		None			Buy	07/21/17	K		

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103.					Sold	11/07/17	K	A	
104. Newmarket Corp	A	Dividend	L	T					
105. Norfolk Southern	B	Dividend	L	T					
106. Oracle Corp		None	K	T	Buy	12/08/17	K		
107. Palo Alto Network		None	K	T	Buy	07/21/17	K		
108. Paypal Holdings		None	K	T	Sold (part)	12/08/17	L	E	
109. Paychex Inc	B	Dividend	L	T					
110. Pfizer Inc	B	Dividend	L	T					
111. Philip Morris	B	Dividend	K	T	Buy	03/02/17	K		
112. Pioneer Natural Resources	A	Dividend	K	T	Buy	07/21/17	K		
113. Praxair Inc	A	Dividend	J	T	Buy	11/09/17	J		
114. Priceline Group Inc		None			Sold	05/02/17	L	E	
115. Qualcomm Inc	B	Dividend			Sold	07/04/17	K	A	
116. Red Hat		None	K	T	Buy	07/21/17	K		
117. Regeneron Phar		None	K	T	Buy	07/21/17	K		
118. Reynolds American Inc	B	Dividend			Sold	07/25/17	M	A	
119. Rockwell Collins	A	Dividend			Buy	07/21/17	J		

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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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)
120.					Sold	12/13/17	J	B	
121. Ross Stores	A	Dividend			Sold	07/21/17	K	A	
122. Schlumberger Ltd	B	Dividend	L	T	Sold (part)	07/21/17	K	A	
123. Schwab, Charles	A	Dividend	K	T	Sold (part)	07/21/17	K	D	
124. Splunk Inc		None	K	T	Buy	07/21/17	J		
125. Texas Instruments	A	Dividend	K	T	Buy	07/21/17	K		
126. Thermo Fisher	A	Dividend	K	T	Buy	07/21/17	K		
127. 21st Century Fox	A	Dividend			Buy	07/21/17	K		
128.					Sold	12/19/17	K	C	
129. Target Corp	B	Dividend	L	T	Buy	04/26/17	L		
130. TJX Cos	A	Dividend			Sold	07/21/17	K	A	
131. Tractor Supply	A	Dividend			Buy (add'l)	03/06/17	K		
132.					Sold	07/21/17	K	A	
133. Treehouse Foods		None			Sold	07/21/17	K	A	
134. UPS	A	Dividend	K	T	Buy	07/21/17	K		
135. United Healgroup	A	Dividend	K	T	Buy	07/21/17	K		
136. Verisk Analytics		None			Buy	01/06/17	L		

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 \$5,000,000	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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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)
137.					Sold	07/21/17	K	D	
138. Verizon Communications	B	Dividend	L	T					
139. Visa Inc	A	Dividend	L	T	Sold (part)	07/21/17	K	D	
140. VM Ware		None	J	T	Buy	07/21/17	J		
141.					Sold (part)	08/09/17	J	A	
142. Walt Disney Co	A	Dividend	K	T	Buy	07/21/17	K		
143. Wells Fargo & Co	C	Dividend	L	T					
144. Xilinx		None			Buy	07/21/17	J		
145.					Sold	09/07/17	J	A	
146. Yum China	A	Dividend	K	T	Buy	07/21/17	K		
147. Zoetis Inc	A	Dividend	K	T	Buy	07/21/17	K		
148. IRA Traditional: UBS Bank Deposit	A	Interest	L	T					
149. IRA Traditional: UBS Bank Deposit	A	Interest	L	T					
150.									
151.									
152.									
153.									

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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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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Washington, D.C. 20544