

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 03/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. Court of Appeals for the Ninth Circuit 95 Seventh Street 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.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bea, Carlos T.

Date of Report

03/09/2020

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	San Francisco Judges' Retirement (pension)	\$105,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Federalist Society	1/25/2019-1/27/2019	Simi Valley, CA	Western Conference	Transportation, meals, lodging
2.	Heritage Foundation	2/18/2019-2/22/2019	Washington, DC	Presenter at Clerkship Academy	Transportation, meals, lodging
3.	UNLV Law School	4/21/2019-4/23/2019	Las Vegas, NV	Speech/Moot Court Judge	Transportation, per diem allowance, lodging
4.	Federalist Society	11/13/2019-11/17/2019	Washington, DC	Annual Conference/Panelist	Transportation, meals, lodging
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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Banco Santander (cash)	A	Interest	J	T					
3. ██████████	G	Distribution	O	V					
4. Trees (Spain)		None	N	W					
5. TRUST ACCT #1 (H)									
6. UBS Bank USA FDIC Insured Deposit (cash)	A	Interest	J	T					
7. UBS Tax-Free Reserves Fd Cl A (STFXX) (cash equivalent)	C	Dividend	N	T	Buy (add'l)	01/04/19	J		
8.					Buy (add'l)	01/31/19	J		
9.					Buy (add'l)	02/08/19	J		
10.					Buy (add'l)	03/29/19	J		
11.					Buy (add'l)	04/05/19	J		
12.					Buy (add'l)	04/15/19	K		
13.					Buy (add'l)	05/03/19	J		
14.					Sold (part)	05/10/19	M		
15.					Buy (add'l)	05/21/19	J		
16.					Buy (add'l)	06/07/19	J		
17.					Buy (add'l)	07/01/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 NONE (No reportable income, assets, or transactions.)

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18.					Buy (add'l)	07/05/19	J		
19.					Buy (add'l)	08/02/19	K		
20.					Buy (add'l)	08/27/19	N		
21.					Buy (add'l)	09/20/19	J		
22.					Buy (add'l)	10/04/19	K		
23.					Sold (part)	10/16/19	K		
24.					Buy (add'l)	11/01/19	J		
25.					Buy (add'l)	11/18/19	J		
26.					Buy (add'l)	12/06/19	J		
27.					Sold (part)	12/09/19	M		
28. JPMorgan Chase (JPM)	D	Dividend	M	T					
29. Ishares Core High Dividend (HDV)	E	Dividend	O	T					
30. SPDR S&P 500 ETF Tr (SPY)	E	Dividend	P1	T					
31. Dodge & Cox Stock Fund (DODGX)	C	Dividend	K	T					
32. California Pub Works 5%, Due 10/01/21 (130685WJ5)	B	Interest	L	T					
33. California St Gen Oblig 5%, due 04/01/20 (13063A4K7)	A	Interest	J	T					
34. California St Pub Works, 5%, Due 04/01/20 (1306852T6)	B	Interest	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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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. Cupertino Cal 5%, Due 08/01/20 (231237XV5)	B	Interest	K	T					
36. East Bay Ca Mud Water 4%, Due 06/01/21 (271014VG4)	A	Interest	K	T					
37. Campbell CA Un High 5% 08/01/21 (134159UR1)	B	Interest	K	T					
38. San Ramon Valley Cal 4%, Due 08/01/21 (799408P52)	B	Interest	L	T					
39. State of California 5%, Due 10/01/21 (13063BPU0)	B	Interest	K	T					
40. Los Angeles CA 5%, Due 06/01/22 (53945CBN9)	C	Interest	K	T					
41. East Bay Cal Mut Wtr 5% 06/01/22 (271014XW7)	B	Interest	K	T					
42. San Francisco CA Bay 5% 07/01/22 (797669YP7)		None	L	T	Buy	01/04/19	L		
43. Napa Valley Ca 4%, Due 08/01/22 (6303615K5)	A	Interest	K	T					
44. Huntington Beach CA 5%, Due 08/01/22 (446222UC3)	B	Interest	K	T					
45. California St Pub Works 5%, Due 03/01/23 (13068LDX0)	B	Interest	K	T					
46. San Francisco CA 5%, Due 06/15/23 (797646QD1)	B	Interest	K	T					
47. San Diego CA Cmnty 5% 08/01/23 (797272PP0)	B	Interest	K	T					
48. Huntington Beach CA 5%, Due 08/01/23 (446222UD1)	B	Interest	L	T					
49. Bakersfield CA Wastewr 5% 09/15/23 (05753PCA8)	B	Interest	K	T					
50. Los Angeles CA 5%, Due 07/01/24 (544495ZE7)	B	Interest	L	T					
51. Metropolitan Wtr Dist 5% Due 07/01/24 (59266TLU3)	B	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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52. Santa Clara CA 5%, Due 08/01/24 (801546NF5)	B	Interest	K	T					
53. California Infrastructure 5%, Due 10/01/24 (13034AEF3)	B	Interest	K	T					
54. Bay Area Toll Auth CA 5% 04/01/25 (072024UY6)	B	Interest	K	T					
55. Los Angeles CA 5%, Due 07/01/25 (544525QP6)	B	Interest	K	T					
56. Santa Monica-Malibu USD 4% 07/01/25 (802498PY5)	A	Interest	K	T					
57. Pacific Grove CA 5%, Due 08/01/25 (694393NB1)	B	Interest	K	T					
58. Ukiah CA 4%, Due 08/01/25 (903698DT2)	B	Interest	L	T					
59. University of CA, 5%, Due 05/15/26 (91412GUC7)	B	Interest	L	T					
60. Oxnard Cal UHSD 5% 08/01/26 (692039MD9)	B	Interest	K	T					
61. Sacramento Mun Util Dist 5% 08/15/26 (786005WM6)	B	Interest	K	T					
62. Bay Area Water Supply, 5%, Due 10/01/26 (072031BE6)	C	Interest	L	T					
63. San Mateo CA 5%, Due 06/01/27 (799054GZ8)	C	Interest	M	T					
64. St of California 5% Due 10/01/27 (13063B4N9)	B	Interest	M	T	Buy	05/13/19	M		
65. Alameda County CA 5.250%, Due 12/01/27 (010831CB9)	C	Interest	L	T					
66. Chaffy Cmnty College 5% Due 06/01/22 (157432FX8)	B	Interest	L	T	Buy	05/13/19	L		
67. Los Gatos-Saratoga CA 5% Due 08/01/28 (545540DH6)	B	Interest	L	T	Buy	05/13/19	L		
68. Bakersfield 5% Due 09/15/28 (05753PCF7)	B	Interest	K	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. CA St Un RV Pref 5%, Due 11/01/28 (was California St 5%) (13077CUL6)	B	Interest	K	T					
70. Los Angeles CA 5%, Due 08/01/29 (54438CTD4)	B	Interest	K	T					
71. California St 5% Due 08/01/29 (13063CVM9)		None	L	T	Buy	10/17/19	L		
72. Napa Valley 5%, Due 08/01/29 (6303616Y4)	B	Interest	K	T					
73. State of California 5.25%, Due 10/01/29 (13063BAS1)	B	Interest			Redeemed	10/07/19	K		
74. Northern Ca Pwr 5%, Due 07/01/30 (664845EH3)	B	Interest	K	T					
75. California St 5% Due 08/01/30 (13063C6F2)	B	Interest	L	T					
76. Franklin CA High Yield Muni (FCAMX)	E	Interest	O	T					
77. Franklin Global Bond Fund (TPINX)	E	Interest	O	T					
78. TRUST ACCT #2 (H)									
79. UBS Money Fund, Inc. Deposit A/C (cash)	A	Interest	K	T					
80. Altria Group (MO)	C	Dividend	L	T					
81. Apple Inc (AAPL)	B	Dividend	M	T					
82. Berkshire Hathaway (BRK.B)		None	L	T	Buy (add'l)	09/11/19	L		
83. Blackrock Inc (BLK)	C	Dividend	M	T					
84. Carinval Corp (CCL)	C	Dividend	M	T					
85. Chevron Corp (CVX)	C	Dividend	L	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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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. Cinn Financial Corp (CINF)	C	Dividend	J	T	Sold (part)	10/30/19	K	D	
87.					Sold (part)	10/31/19	K	D	
88.					Sold (part)	11/05/19	J	C	
89. Cisco Systems (CSCO)	C	Dividend	M	T	Sold (part)	01/07/19	J	B	
90. Coca Cola Co (KO)	B	Dividend	L	T					
91. Crown Castle Int'l (CCI)	C	Dividend	M	T	Sold (part)	01/07/19	J	A	
92. Delta Air Lines Inc DELA New (DAL)	B	Dividend	L	T	Buy	04/15/19	L		
93. Diageo PLC (DEO)	B	Dividend	M	T					
94. Domimion Resources (D)	C	Dividend	M	T	Buy (add'l)	06/21/19	L		
95. Duke Energy Corp (DUK)	B	Dividend			Sold	06/21/19	L	A	
96. Fastenal Co (FAST)	C	Dividend	M	T					
97. Franklin Resources Inc (BEN)	B	Dividend	K	T					
98. General Dynamics (GD)	A	Dividend			Sold (part)	04/15/19	K	D	
99.					Sold	05/29/19	K	B	
100. Hasbro Inc (HAS)	A	Dividend			Sold	04/15/19	K	B	
101. Intel Corp (INTC)	C	Dividend	M	T					
102. Johnson & Johnson (JNJ)	C	Dividend	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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R =Cost (Real Estate Only)

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H1 =\$1,000,001 - \$5,000,000

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S =Assessment

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103. Kinder Morgan (KMI)	B	Dividend	K	T					
104. Lowes Companies (LOW)	B	Dividend	M	T	Buy (add'l)	08/02/19	K		
105. Merck & Co (MRK)	C	Dividend	M	T					
106. Microsoft Corp (MSFT)	B	Dividend	M	T					
107. Nestle SA (NSRGY)	B	Dividend	L	T					
108. Newmarket Corp (NEU)	A	Dividend			Sold (part)	01/11/19	J		
109.					Sold (part)	05/29/19	J		
110.					Sold (part)	06/11/19	J	B	
111.					Sold	08/02/19	K	B	
112. Norfolk Southern (NSC)	B	Dividend	M	T					
113. Paccar Inc (PCAR)	C	Dividend	L	T	Sold (part)	04/10/19	K		
114.					Sold (part)	04/11/19	K	A	
115. Paychex Inc (PAYX)	B	Dividend	L	T					
116. Pfizer Inc (PFE)	C	Dividend	M	T					
117. Philip Morris (PM)	B	Dividend	K	T					
118. Target Corp (TGT)	B	Dividend	L	T					
119. Texas Instruments (TXN)	B	Dividend	M	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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. UPS (UPS)	C	Dividend	L	T					
121. Verizon Communications (VZ)	C	Dividend	L	T					
122. Wells Fargo & Co (WFC)	C	Dividend	M	T					
123. TRUST ACCT #3 (H)									
124. UBS Money Fund, Inc. Deposit A/C (cash)	A	Dividend	L	T					
125. Adobe Systems (ADBE)		None	K	T					
126. Advance Auto Parts Inc (AAP)	A	Dividend	K	T	Buy	03/20/19	J		
127.					Buy (add'l)	04/12/19	J		
128.					Buy (add'l)	04/25/19	J		
129.					Buy (add'l)	05/02/19	J		
130.					Buy (add'l)	05/06/19	J		
131.					Buy (add'l)	05/08/19	J		
132.					Buy (add'l)	05/21/19	J		
133.					Buy (add'l)	05/24/19	J		
134.					Buy (add'l)	05/28/19	J		
135.					Buy (add'l)	06/26/19	J		
136.					Buy (add'l)	08/19/19	J		

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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

137. Akamai Tech (AKAM)		None	K	T	Sold (part)	08/13/19	J	B	
138. Alexion Phar (ALXN)		None	K	T	Buy (add'l)	04/01/19	J		
139.					Buy (add'l)	05/31/19	J		
140. Alibaba Group Holdings LTD (BABA)		None	K	T	Buy (add'l)	06/12/19	J		
141. Alphabet Inc CL A (GOOGL)		None	K	T					
142. Alphabet Inc CL C (GOOG)		None	K	T					
143. Amazon.com (AMZN)		None	M	T	Buy (add'l)	10/17/19	J		
144.					Buy (add'l)	10/29/19	J		
145.					Buy (add'l)	11/06/19	J		
146. American Express (AXP)	A	Dividend	K	T	Buy (add'l)	10/17/19	J		
147. Anheuser Busch (BUD)	A	Dividend	K	T	Buy (add'l)	01/08/19	J		
148. Apple Inc (APPL)	A	Dividend	L	T	Sold (part)	04/12/19	J	B	
149.					Buy (add'l)	11/15/19	J		
150.					Buy (add'l)	12/23/19	J		
151. Biogen (BIIB)		None			Sold (part)	04/05/19	J		
152.					Sold (part)	04/09/19	J		
153.					Sold (part)	04/11/19	J		

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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154.					Sold (part)	04/15/19	J		
155.					Sold	04/18/19	J		
156. Biomarin Pharmaceutical Inc (BMRN)		None	J	T	Buy (add'l)	01/09/19	J		
157.					Buy (add'l)	05/31/19	J		
158. Blackrock Inc (BLK)	A	Dividend	K	T	Sold (part)	03/19/19	J	A	
159.					Sold (part)	12/09/19	J	A	
160.					Sold (part)	12/13/19	J	A	
161. C H Robinson Worldwide Inc New (CHRW)	A	Dividend	J	T	Buy	05/03/19	J		
162.					Buy (add'l)	05/06/19	J		
163.					Buy (add'l)	05/10/19	J		
164.					Buy (add'l)	05/13/19	J		
165.					Buy (add'l)	05/28/19	J		
166.					Buy (add'l)	08/05/19	J		
167. Caterpillar Inc (CAT)	A	Dividend			Sold (part)	08/28/19	J		
168.					Sold (part)	08/30/19	J		
169.					Sold (part)	09/06/19	J		
170.					Sold	09/10/19	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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. Celgene (CELG)		None			Sold (part)	01/07/19	J		
172.					Sold (part)	01/10/19	J	A	
173.					Sold (part)	01/14/19	J		
174.					Sold (part)	01/22/19	J		
175.					Sold (part)	02/01/19	J		
176.					Sold (part)	02/04/19	J		
177.					Sold (part)	02/06/19	J		
178.					Sold (part)	01/07/19	J		
179.					Sold	02/12/19	J		
180. Chipotle Mexican (CMG)		None			Sold (part)	01/11/19	J	A	
181.					Sold (part)	10/02/19	J	D	
182.					Sold	10/03/19	J	B	
183. Coca Cola Co (KO)	A	Dividend			Sold (part)	07/25/19	J	A	
184.					Sold (part)	07/31/19	J	B	
185.					Sold	08/02/19	J	B	
186. Comcast (CMCSA)	A	Dividend	K	T	Buy (add'l)	04/04/19	J		
187.					Sold (part)	06/26/19	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	
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)
188. Costco Wholesale (COST)	A	Dividend	K	T	Buy (add'l)	01/08/19	J		
189.					Sold (part)	08/21/19	J	B	
190. Ecolab Inc (ECL)	A	Dividend	K	T	Sold (part)	03/01/19	J	B	
191.					Sold (part)	09/11/19	J	A	
192. Equinix Inc Reit (EQIX)	A	Dividend	K	T	Sold (part)	08/14/19	J	A	
193.					Sold (part)	08/16/19	J	A	
194. Facebook Inc (FB)		None	L	T	Buy (add'l)	01/08/19	J		
195.					Buy (add'l)	01/24/19	J		
196.					Buy (add'l)	04/05/19	J		
197. Fidelity Natl Info Svcs (FIS)	A	Dividend	K	T	Buy	07/29/19	J		
198.					Buy (add'l)	08/01/19	J		
199.					Buy (add'l)	08/05/19	J		
200.					Buy (add'l)	08/15/19	J		
201.					Buy (add'l)	09/13/19	J		
202.					Buy (add'l)	10/23/19	J		
203. Grainger WW (GWW)	A	Dividend	K	T					
204. Grubhub Inc (GRUB)		None			Buy	02/11/19	J		

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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205.					Buy (add'l)	02/14/19	J		
206.					Buy (add'l)	01/08/19	J		
207.					Buy (add'l)	03/12/19	J		
208.					Buy (add'l)	03/21/19	J		
209.					Buy (add'l)	04/09/19	J		
210.					Sold (part)	10/29/19	J		
211.					Sold	11/05/19	J		
212. Home Depot (HD)	A	Dividend	K	T					
213. IHS Markit LTD (INFO)		None	K	T	Buy (add'l)	01/08/19	J		
214.					Buy (add'l)	04/04/19	J		
215. Johnson & Johnson (JNJ)	A	Dividend	K	T	Buy (add'l)	06/12/19	J		
216.					Buy (add'l)	08/29/19	J		
217. Linde PLC (LIN)	A	Dividend	K	T					
218. MC Cormick & Co (MKC)	A	Dividend	K	T	Sold (part)	01/02/19	J	A	
219.					Sold (part)	01/07/19	J	A	
220.					Sold (part)	01/10/19	J	A	
221.					Sold (part)	01/17/19	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	
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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222.					Sold (part)	01/23/19	J	A	
223.					Buy (add'l)	01/30/19	J		
224.					Buy (add'l)	01/31/19	J		
225.					Buy (add'l)	02/01/19	J		
226.					Buy (add'l)	01/04/19	J		
227.					Buy (add'l)	02/07/19	J		
228.					Buy (add'l)	02/15/19	J		
229. Microsoft Corp (MSFT)	B	Dividend	L	T					
230. Nutanix Inc Cl A (NTNX)		None	J	T	Buy (add'l)	03/05/19	J		
231.					Buy (add'l)	04/02/19	J		
232. Nvidia Corp (NVDA)	A	Dividend	K	T	Buy (add'l)	02/01/19	J		
233.					Buy (add'l)	04/04/19	J		
234.					Buy (add'l)	10/04/19	J		
235.					Buy (add'l)	11/20/19	J		
236. Oracle Corp (ORCL)	A	Dividend	K	T					
237. Palo Alto Network (PANW)		None	K	T					
238. Paypal Holdings (PYPL)		None			Sold (part)	05/23/19	J	C	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239.					Sold (part)	05/24/19	J	B	
240.					Sold (part)	05/29/19	J	B	
241.					Sold (part)	06/04/19	J	B	
242.					Sold (part)	06/05/19	J	B	
243.					Sold (part)	06/10/19	J	B	
244.					Sold (part)	06/11/19	J	B	
245.					Sold (part)	07/16/19	J	C	
246.					Sold	07/22/19	J	C	
247. Pioneer Natural Resources (PXD)	A	Dividend	K	T	Buy (add'l)	05/10/19	J		
248.					Buy (add'l)	05/31/19	J		
249. QUALCOMM Inc (QCOM)	A	Dividend	K	T	Sold (part)	04/10/19	J	A	
250.					Buy (add'l)	08/05/19	J		
251.					Sold (part)	11/20/19	J	C	
252. Red Hat (RHT)		None			Sold (part)	01/22/19	J	B	
253.					Sold (part)	01/30/19	J	A	
254.					Sold (part)	02/07/19	J	A	
255.					Sold (part)	04/02/19	J	A	

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Bea, Carlos T.

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03/09/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256.					Sold (part)	05/31/19	J	B	
257.					Sold (part)	06/10/19	J	B	
258.					Sold (part)	06/12/19	J	A	
259.					Sold	06/21/19	J	B	
260. Regeneron Phar (REGN)		None			Sold (part)	01/24/19	J		
261.					Sold (part)	02/08/19	J		
262.					Sold	03/07/19	J	A	
263. Schlumberger Ltd (SLB)	A	Dividend			Sold (part)	05/10/19	J		
264.					Sold	05/14/19	J		
265. Salesforce.com Inc (CRIM)		None	K	T	Buy	11/08/19	J		
266.					Buy (add'l)	11/13/19	J		
267.					Buy (add'l)	11/15/19	J		
268.					Buy (add'l)	11/22/19	J		
269.					Buy (add'l)	11/27/19	J		
270. Schwab, Charles (SCHW)	A	Dividend	K	T	Buy (add'l)	01/24/19	J		
271.					Buy (add'l)	03/22/19	J		
272. Splunk Inc (SPLK)		None	K	T	Sold (part)	05/24/19	J	B	

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273. Texas Instruments (TXN)	A	Dividend	K	T	Sold (part)	10/02/19	J	B	
274. Thermo Fisher (TMO)	A	Dividend	K	T					
275. Uber Technologies Inc (UBER)		None	J	T	Buy	05/14/19	J		
276.					Buy (add'l)	06/06/19	J		
277.					Buy (add'l)	07/01/19	J		
278.					Buy (add'l)	08/13/19	J		
279.					Buy (add'l)	11/15/19	J		
280.					Buy (add'l)	11/25/19	J		
281. UPS (UPS)	B	Dividend	K	T	Buy (add'l)	08/28/19	J		
282.					Buy (add'l)	10/04/19	J		
283. United Health Group (UNH)	A	Dividend	L	T	Buy (add'l)	04/16/19	J		
284. Visa Inc (V)	A	Dividend	L	T	Buy (add'l)	01/24/19	J		
285.					Buy (add'l)	07/25/19	J		
286. VM Ware (VMW)		None	K	T	Buy (add'l)	10/04/19	J		
287.					Buy (add'l)	12/11/19	J		
288.					Buy (add'l)	12/12/19	J		
289.					Buy (add'l)	12/13/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290. Walt Disney Co (DIS)	A	Dividend	K	T	Buy (add'l)	01/24/19	J		
291. Yum China (YUMC)	A	Dividend			Sold (part)	02/08/19	J	A	
292.					Sold (part)	03/18/19	J	A	
293.					Sold (part)	03/25/19	J	A	
294.					Sold (part)	03/28/19	J	A	
295.					Sold (part)	04/01/19	J	A	
296.					Sold (part)	04/03/19	J	A	
297.					Buy (add'l)	04/04/19	J		
298.					Sold (part)	04/09/19	J	A	
299.					Sold (part)	04/23/19	J	A	
300.					Sold (part)	04/24/19	J	A	
301.					Sold (part)	04/30/19	J	A	
302.					Sold (part)	05/02/19	J	A	
303.					Sold (part)	05/02/19	J	A	
304.					Sold	05/17/19	J	A	
305. Zoetis Inc (ZTS)	A	Dividend	K	T					
306. TRUST #4 (H)									

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

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03/09/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307. UBS Bank Deposit (cash) (formerly IRA Traditional)	A	Interest	M	T					
308. SPDR S&P 500 ETF TR (SPY)	B	Dividend	M	T					
309. IRA #1 (H)									
310. UBS Money Fund, Inc. Deposit A/C (cash)	A	Interest	K	T					
311. Adobe Systems (ADBE)		None	K	T					
312. Advance Auto Parts Inc (AAP)	A	Dividend	K	T	Buy	03/20/19	J		
313.					Buy (add'l)	04/12/19	J		
314.					Buy (add'l)	04/25/19	J		
315.					Buy (add'l)	05/02/19	J		
316.					Buy (add'l)	05/06/19	J		
317.					Buy (add'l)	05/08/19	J		
318.					Buy (add'l)	01/21/19	J		
319.					Buy (add'l)	05/24/19	J		
320.					Buy (add'l)	05/28/19	J		
321.					Buy (add'l)	06/26/19	J		
322.					Buy (add'l)	08/19/19	J		
323. Akamai Tech (AKAM)		None	K	T	Sold (part)	08/13/19	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	
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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Name of Person Reporting

Bea, Carlos T.

Date of Report

03/09/2020

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)
324. Alexion Phar (ALXN)		None	K	T	Buy (add'l)	05/31/19	J		
325. Alibaba Group Hldg (BABA)		None	K	T	Buy (add'l)	04/01/19	J		
326.					Buy (add'l)	06/12/19	J		
327. Alphabet Inc CL A (GOOGL)		None	K	T					
328. Alphabet Inc CL C (GOOG)		None	K	T					
329. Amazon.com (AMZN)		None	L	T	Buy (add'l)	10/29/19	J		
330. American Express (AXP)	A	Dividend	K	T	Buy (add'l)	10/17/19	J		
331. Anheuser Busch (BUD)	A	Dividend	K	T	Buy (add'l)	01/08/19	J		
332. Apple Inc (AAPL)	A	Dividend	K	T	Sold (part)	04/12/19	J	B	
333.					Buy (add'l)	11/15/19	J		
334.					Buy (add'l)	12/23/19	J		
335. Biogen (BIIB)		None			Sold (part)	04/05/19	J		
336.					Sold (part)	04/09/19	J		
337.					Sold (part)	04/11/19	J		
338.					Sold (part)	04/15/19	J		
339.					Sold	04/18/19	J		
340. Biomarin Pharmaceutical Inc (BMRN)		None	J	T	Buy (add'l)	05/31/19	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bea, Carlos T.

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03/09/2020

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)
341. Blackrock Inc (BLK)	A	Dividend	K	T	Sold (part)	03/19/19	J	A	
342.					Sold (part)	12/09/19	J	A	
343.					Sold (part)	12/13/19	J	A	
344. C H Robinson Worldwide Inc New (CHRW)	A	Dividend	J	T	Buy	05/03/19	J		
345.					Buy (add'l)	05/06/19	J		
346.					Buy (add'l)	05/10/19	J		
347.					Buy (add'l)	05/13/19	J		
348.					Buy (add'l)	05/28/19	J		
349.					Buy (add'l)	08/02/19	J		
350.					Buy (add'l)	08/05/19	J		
351. Caterpillar Inc (CAT)	A	Dividend			Sold (part)	08/28/19	J		
352.					Sold (part)	08/30/19	J		
353.					Sold (part)	09/06/19	J		
354.					Sold	09/10/19	J		
355. Celgene (CELG)		None			Sold (part)	01/07/19	J		
356.					Sold (part)	01/10/19	J		
357.					Sold (part)	01/14/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358.					Sold (part)	02/01/19	J		
359.					Sold (part)	02/04/19	J		
360.					Sold (part)	02/06/19	J		
361.					Sold (part)	02/07/19	J		
362.					Sold	02/12/19	J		
363. Chipotle Mexican (CMG)		None			Sold (part)	01/15/19	J	A	
364.					Sold	10/03/19	J	D	
365. Coca Cola Co (KO)	A	Dividend			Sold (part)	07/25/19	J	A	
366.					Sold (part)	07/31/19	J	A	
367.					Sold	08/02/19	J	A	
368. Comcast (CMCSA)	A	Dividend	K	T	Buy (add'l)	04/04/19	J		
369.					Sold (part)	06/26/19	J	A	
370. Costco Wholesale (COST)	A	Dividend	K	T	Buy (add'l)	01/08/19	J		
371.					Sold (part)	08/21/19	J	A	
372. Ecolab Inc (ECL)	A	Dividend	K	T	Sold (part)	03/01/19	J	A	
373.					Sold (part)	09/11/19	J	A	
374. Equinix Inc REIT (EQIX)	A	Dividend	K	T	Sold (part)	08/14/19	J	A	

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Bea, Carlos T.

Date of Report

03/09/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
375.					Sold (part)	08/16/19	J	A	
376. Facebook Inc (FB)		None	L	T	Buy (add'l)	04/05/19	J		
377.					Buy (add'l)	04/05/19	J		
378. Fidelity Natl Info Svcs (FIS)	A	Dividend	K	T	Buy	07/29/19	J		
379.					Buy (add'l)	08/01/19	J		
380.					Buy (add'l)	08/05/19	J		
381.					Buy (add'l)	08/15/19	J		
382. Grainger WW (GWV)	A	Dividend	K	T					
383. Grubhub Inc (GRUB)		None			Buy	02/11/19	J		
384.					Buy (add'l)	02/14/19	J		
385.					Buy (add'l)	03/08/19	J		
386.					Buy (add'l)	03/12/19	J		
387.					Buy (add'l)	03/21/19	J		
388.					Buy (add'l)	04/09/19	J		
389.					Sold (part)	10/31/19	J	C	
390.					Sold	11/01/19	J		
391. Home Depot (HD)	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	

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Name of Person Reporting

Bea, Carlos T.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
392. IHS Markit Ltd (INFO)		None	K	T	Buy (add'l)	01/08/19	J		
393.					Buy (add'l)	04/04/19	J		
394. Johnson & Johnson (JNJ)	A	Dividend	K	T	Buy (add'l)	06/03/19	J		
395.					Buy (add'l)	06/12/19	J		
396. Linde PLC Eur (LIN)	A	Dividend	K	T					
397. MC Cormick & Co (MKC)	A	Dividend	J	T	Sold (part)	01/02/19	J	A	
398.					Sold (part)	01/07/19	J	A	
399.					Sold (part)	01/10/19	J	A	
400.					Sold (part)	01/17/19	J	A	
401.					Sold (part)	01/23/19	J	A	
402.					Buy (add'l)	01/30/19	J		
403.					Buy (add'l)	01/31/19	J		
404.					Buy (add'l)	02/01/19	J		
405.					Buy (add'l)	02/04/19	J		
406.					Buy (add'l)	02/07/19	J		
407.					Buy (add'l)	02/15/19	J		
408. Microsoft Corp (MSFT)	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
409. Nutanix Inc Cl A (NTNX)		None	J	T	Buy (add'l)	03/05/19	J		
410.					Buy (add'l)	04/02/19	J		
411. Nvidia Corp (NVDA)	A	Dividend	K	T	Buy (add'l)	02/01/19	J		
412.					Buy (add'l)	04/04/19	J		
413.					Buy (add'l)	10/04/19	J		
414.					Buy (add'l)	11/20/19	J		
415. Oracle Corp (ORCL)	A	Dividend	K	T					
416. Palo Alto Network (PANW)		None	K	T					
417. Paypal Holdings (PYPL)		None			Sold (part)	05/23/19	J	C	
418.					Sold (part)	05/24/19	J	B	
419.					Sold (part)	05/29/19	J	B	
420.					Sold (part)	06/04/19	J	B	
421.					Sold (part)	06/05/19	J	B	
422.					Sold (part)	06/10/19	J	B	
423.					Sold (part)	06/11/19	J	B	
424.					Sold (part)	07/16/19	J	C	
425.					Sold	07/22/19	J	C	

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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Bea, Carlos T.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
426. Pioneer Natural Resources (PXD)	A	Dividend	K	T	Buy (add'l)	05/10/19	J		
427.					Buy (add'l)	05/31/19	J		
428. Qualcomm Inc (QCOM)	A	Dividend	K	T	Sold (part)	04/10/19	J	A	
429.					Buy (add'l)	08/05/19	J		
430.					Sold (part)	11/18/19	J	C	
431. Red Hat (RHT)		None			Sold (part)	01/22/19	J	A	
432.					Sold (part)	01/30/19	J	A	
433.					Sold (part)	02/07/19	J	A	
434.					Sold (part)	04/02/19	J	A	
435.					Sold (part)	05/31/19	J	B	
436.					Sold (part)	06/10/19	J	B	
437.					Sold (part)	06/12/19	J	B	
438.					Sold	06/21/19	J	B	
439. Regeneron Phar (REGN)		None			Sold (part)	01/24/19	J		
440.					Sold (part)	02/08/19	J		
441.					Sold (part)	03/07/19	J	A	
442.					Sold	05/14/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Name of Person Reporting

Bea, Carlos T.

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03/09/2020

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)
443. Schlumberger Ltd (SLB)	A	Dividend			Sold	05/10/19	J		
444. Salesforce.com Inc. (CRM)		None	K	T	Buy	11/08/19	J		
445.					Buy (add'l)	11/13/19	J		
446.					Buy (add'l)	11/15/19	J		
447.					Buy (add'l)	11/22/19	J		
448.					Buy (add'l)	11/27/19	J		
449. Schwab, Charles (SCHW)	A	Dividend	K	T	Buy (add'l)	01/24/19	J		
450.					Buy (add'l)	03/22/19	J		
451. Splunk Inc (SPLK)		None	K	T	Sold (part)	05/24/19	J	B	
452. Texas Instruments (TXN)	A	Dividend	K	T	Sold (part)	10/02/19	J	B	
453. Thermo Fisher (TMO)	A	Dividend	K	T	Buy (add'l)	08/15/19	J		
454. Uber Technologies Inc (UBER)		None	J	T	Buy	05/14/19	J		
455.					Buy (add'l)	06/06/19	J		
456.					Buy (add'l)	07/01/19	J		
457.					Buy (add'l)	08/13/19	J		
458.					Buy (add'l)	11/25/19	J		
459. UPS (UPS)	A	Dividend	K	T	Buy (add'l)	06/28/19	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)
460.					Buy (add'l)	08/28/19	J		
461.					Buy (add'l)	10/04/19	J		
462. UnitedHealth Group (UNH)	A	Dividend	K	T	Buy (add'l)	04/16/19	J		
463. Visa Inc (V)	A	Dividend	L	T	Buy (add'l)	01/24/19	J		
464.					Buy (add'l)	06/25/19	J		
465. VM Ware (VMW)		None	K	T	Buy (add'l)	10/04/19	J		
466.					Buy (add'l)	12/11/19	J		
467.					Buy (add'l)	12/12/19	J		
468.					Buy (add'l)	12/13/19	J		
469. Walt Disney Co (DIS)	A	Dividend	K	T	Buy (add'l)	01/24/19	J		
470. Yum China (YUMC)	A	Dividend			Sold (part)	03/25/19	J	A	
471.					Buy (add'l)	04/01/19	J		
472.					Sold (part)	03/28/19	J	A	
473.					Sold (part)	04/01/19	J	A	
474.					Sold (part)	04/03/19	J	A	
475.					Sold (part)	04/04/19	J	A	
476.					Sold (part)	04/09/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
477.					Sold (part)	04/23/19	J	A	
478.					Sold (part)	04/24/19	J	A	
479.					Sold (part)	05/02/19	J	A	
480.					Sold	05/17/19	J	A	
481. Zoetis Inc (ZTS)	A	Dividend	K	T					
482. IRA #2 (H)									
483. UBS Bank Deposit (cash)	A	Interest	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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03/09/2020

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

Part II: Reportable assets related to these positions are included in Part VII.

Part III A.: Due to litigation, the state of California is retroactively adjusting judicial pensions; the figure provided is my best estimate of the final amount.

Part VII, line 3: Valuation was determined by the Los Angeles County Assessor's Appeal Board.

Part VII, line 4: Located on family land.

Part VII: 2018 IRA #2 is now Trust #4.

Part VII: 2018 IRA #3 is now IRA #2.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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03/09/2020

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