

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 09/13/2017
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 01/01/2016 to 12/31/2016
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. 2016	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	10/30-31/16	Simi Valley, California	Moderate panel	Travel, hotel and food
2. Federalist Society	03/31-04/01/16	Phoenix, Az	Moderate panel	Travel, hotel and food
3. Federalist Society	11/16-19/16	Washington D.C.	Moderate panel	Travel, hotel and food
4. [REDACTED] LLC	12/12-13/15	Pasadena, CA	Members meeting	Travel, hotel and food
5. UCLA Law School	04/16/16	Los angeles, Ca	Judge moot court	Travel and food

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. [REDACTED] L.L.C.	G	Distribution	O	W					See Note 1, Part VIII
2. Banco Santander	A	Interest	N	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	Buy (add'l)	02/02/16	M		Name Change
7. IShares MSCI Frontier Fund 100	D	Dividend			Sold	02/01/16	M	A	
8. California St Gen Oblig 5%, due 04/01/20	B	Interest	K	T					
9. California St Pub Works, 5%, Due 04/01/20	C	Interest	L	T					
10. Cupertino Cal 5%, Due 08/01/20	B	Interest	K	T					
11. East Baay Ca Mud Water 4%, Due 06/01/21	A	Interest	K	T					
12. San Ramon Valley Cal 4%, Due 08/01/21	B	Interest	L	T					
13. California Pub Works 5%, Due 10/01/21	B	Interest	K	T					
14. State of California 5%, Due 10/01/21	B	Interest	K	T					
15. Los Angeles CA 5%, Due 06/01/22	B	Interest	L	T					
16. Napa Valley Ca 4%, Due 08/01/22	A	Interest	K	T					
17. Huntington Beach CA 5%, Due 08/01/22	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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18. California St Pub Works 5%, Due 03/01/23	B	Interest	K	T					
19. San Francisco CA 5%, Due 06/15/23	B	Interest	K	T					
20. Huntington Beach CA 5%, Due 08/01/23	B	Interest	L	T					
21. Los Angeles CA 5%, Due 07/01/24	B	Interest	L	T					
22. Santa Clara CA 5%, Due 08/01/24	B	Interest	K	T					
23. California Infrastructure 5%, Due 10/01/24	B	Interest	K	T					
24. Los Angeles CA 5%, Due 07/01/25	B	Interest	K	T					
25. Pacific Grove CA 5%, Due 08/01/25	B	Interest	K	T					
26. Ukiah CA 4%, Due 08/01/25	B	Interest	L	T					
27. University of CA, 5%, Due 05/15/26	B	Interest	L	T					
28. Bay Area Water Supply, 5%, Due 10/01/26	C	Interest	L	T					
29. San Mateo CA 5%, Due 06/01/27	C	Interest	M	T					
30. Alameda County CA 5.250%, Due 12/01/27	C	Interest	L	T					
31. California St 5%, Due 08/01/28	B	Interest	K	T					
32. Bakersfield 5% Due 09/15/28	B	Interest	K	T	Buy	02/04/16	K		
33. California St 5%, Due 11/01/28	B	Interest	K	T	Buy	02/04/16	K		
34. Los Angeles CA 5%, Due 08/01/29	A	Interest	K	T	Buy	02/04/16	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	
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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35. Napa Valley 5%, Due 08/01/29	A	Interest	K	T	Buy	02/04/16	K		
36. State of California 5.25%, Due 10/01/29	B	Interest	K	T					
37. Northern Ca Pwr 5%, Due 07/01/30	A	Interest	K	T	Buy	02/04/16	K		
38. Franklin Global Bond Fund	D	Dividend	O	T					
39. Franklin CA High Yield Muni	E	Dividend	N	T					
40. Alphabet Inc CL A		None	L	T					
41. Altria Group	C	Dividend	M	T	Sold (part)	04/08/16	K	C	
42. Apple Inc	B	Dividend	L	T	Sold (part)	09/21/16	J	A	
43. Berkshire Hathaway		None	M	T	Sold (part)	12/15/16	K	B	
44. Blackrock Inc	B	Dividend	L	T					
45. Bristol Myers Squibb	A	Dividend			Sold	01/06/16	L	A	
46. CA Inc	B	Dividend	L	T					
47. Carinval Corp	B	Dividend	L	T	Sold (part)	02/02/16	J	A	
48. Chevron Corp	B	Dividend	L	T	Sold (part)	02/02/16	J	A	
49. Cinn Financial Corp	B	Dividend	L	T	Buy (add'l)	02/02/16	J		
50. Cisco Systems	B	Dividend	L	T					
51. Coca Cola Co	B	Dividend	L	T					

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52. Cognizant Tech		None	K	T	Sold (part)	11/28/16	K	A	
53. Communications Sales & Leasing	A	Dividend			Sold	02/02/16	K	A	
54. Conoco Phillips	B	Dividend			Sold	02/03/16	K	A	
55. Core Laboratories	A	Dividend	K	T					
56. Corrections Corp of America	B	Dividend			Sold	09/21/16	K	A	
57. Diageo PLC	B	Dividend	L	T	Buy	06/21/16	L		
58. Dominion Resources	B	Dividend	K	T					
59. Duke Energy Corp	B	Dividend	K	T					
60. Express Scripts		None	K	T	Sold (part)	11/04/16	K	A	
61. Fastenal		None	K	T	Buy	11/09/16	K		
62. General Dynamics	B	Dividend	M	T					
63. General Electric	C	Dividend	L	T					
64. General Mills	B	Dividend	L	T	Buy	04/08/16	L		
65. H&R Block	B	Dividend	L	T					
66. Hasbro Inc	B	Dividend	K	T	Sold (part)	02/02/16	L	D	
67. Intel Corp	B	Dividend	L	T	Sold (part)	02/02/16	J	A	
68. Kinder Morgan	B	Dividend	K	T	Sold (part)	02/02/16	J	A	

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69. Kraft Heinz Co	B	Dividend	L	T	Buy (add'l)	12/09/16	K		
70. LKQ Corp		None	K	T	Sold (part)	08/03/16	K	C	
71. Lilly Ely & Co	B	Dividend	L	T	Sold (part)	02/02/16	J	A	
72. Lowes Companies	B	Dividend	K	T	Sold (part)	07/22/16	K	C	
73. M&T Bank	A	Dividend			Sold	02/01/16	K	A	
74. Mead Johnson Nutrition	A	Dividend	K	T	Sold (part)	07/25/16	K	A	
75. Merck & Co	B	Dividend	L	T	Buy	02/02/16	L		
76. Microsoft Corp	B	Dividend	L	T	Buy (add'l)	02/02/16	J		
77. Mosaic Co	B	Dividend	K	T					
78. Newmarket Corp	A	Dividend	L	T	Buy (add'l)	02/02/16	J		
79. Norfolk Southern	B	Dividend	L	T					
80. Paypal Holdings		None	K	T					
81. Paychex Inc	B	Dividend	L	T					
82. Perrigo Co	A	Dividend			Sold	04/28/16	K	A	
83. Pfizer Inc	B	Dividend	L	T	Sold (part)	02/02/16	J	A	
84. Priceline Group Inc		None	L	T	Buy (add'l)	02/02/16	J		
85. Qualcomm Inc	B	Dividend	L	T	Sold (part)	06/07/16	K	A	

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86. Reynolds American Inc	B	Dividend	K	T	Sold (part)	04/28/16	L	E	
87. Ross Stores	A	Dividend	K	T	Buy	06/16/16	K		
88.					Sold (part)	12/15/16	J	A	
89. Schlumberger Ltd	B	Dividend	L	T	Buy (add'l)	02/02/16	J		
90.					Sold (part)	12/15/16	J	A	
91. Schwab, Charles	A	Dividend	K	T	Buy	02/02/16	K		
92. Stericycle Inc		None			Sold	10/31/16	K	A	
93. TJX Cos	A	Dividend	K	T	Buy	06/03/16	K		
94. Tractor Supply	A	Dividend	K	T	Buy	11/08/16	K		
95.					Sold (part)	11/15/16	J	A	
96. Treehouse Foods		None	K	T	Buy	11/23/16	K		
97. Verizon Communications	B	Dividend	L	T	Buy (add'l)	07/22/16	K		
98. Verisk Analytics		None			Sold	12/15/16	J	A	
99. Visa Inc	A	Dividend	L	T					
100. Wells Fargo & Co	C	Dividend	L	T	Buy (add'l)	10/14/16	K		
101. Wells Fargo & Co 6% preferred	A	Dividend			Sold	10/13/16	K	A	
102. IRA Traditional: UBS Bank Deposit	A	Interest	L	T					

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104.									
105.									
106.									
107.									

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

Note 1: Assessed value of [REDACTED] L.L.C. 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 [REDACTED] land (acquired 1959).

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Name of Person Reporting

Bea, Carlos T.

Date of Report

09/13/2017

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