

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 08/09/2016
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 01/01/2015 to 12/31/2015
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. 2015	San Francisco Judges' Retirement	\$101,562.00
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	01/23-25/15	Simi Valley, California	Moderate panel	Travel and food
2. Harvard Law School	03/25-27/15	Boston, MA	Moot Court Judge	Travel, hotel, and food
3. Federalist Society	06/19/15	Capital Hill	Participate in panel	Travel and food
4. Federalist Society	11/12-14/15	Washington D.C.	Moderate panel	Travel, hotel, and food
5. Heritage Foundation	10/21/15	Washibgtin, D.C.	Give Lecture	Travel and food
6. Columbia School of Law	11/17/15	New York, NY	Give Lecture	Travel and food
7. Yale School of Law	11/19/15	New Haven, CT	Give Lecture	Travel and food

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8.		12/12-15/15	Pasadena, CA	Members meeting	Travel, hotel and food
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

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.		

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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	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 High Dividend	D	Dividend	M	T					
7. IShares MSCI Frontier Fund 100	D	Dividend	M	T					Name Change
8. California St Gen Oblig 5%, due 04/01/20	B	Interest	K	T	Buy	02/23/15	K		
9. California St Pub Works, 5%, Due 04/01/20	C	Interest	L	T	Buy	02/23/15	L		
10. Cupertino Cal 5%, Due 08/01/20	B	Interest	K	T	Buy	02/23/15	K		
11. East Baay Ca Mud Water 4%, Due 06/01/21	B	Interest	K	T	Buy	02/23/15	K		
12. San Ramon Valley Cal 4%, Due 08/01/21	B	Interest	L	T	Buy	02/23/15	L		
13. California Pub Works 5%, Due 10/01/21	B	Interest	K	T	Buy	02/23/15	K		
14. State of California 5%, Due 10/01/21	B	Interest	K	T	Buy	02/23/15	K		
15. Los Angeles CA 5%, Due 06/01/22	B	Interest	L	T	Buy	07/15/15	K		
16. Napa Valley Ca 4%, Due 08/01/22	B	Interest	K	T	Buy	07/15/15	K		
17. Huntington Beach CA 5%, Due 08/01/22	B	Interest	K	T	Buy	02/23/15	K		

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	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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18. California St Pub Works 5%, Due 03/01/23	B	Interest	K	T	Buy	02/23/15	K		
19. San Francisco CA 5%, Due 06/15/23	B	Interest	K	T	Buy	02/23/15	K		
20. Huntington Beach CA 5%, Due 08/01/23	B	Interest	L	T	Buy	02/23/15	K		
21. Los Angeles CA 5%, Due 07/01/24	B	Interest	L	T	Buy	02/23/15	K		
22. Santa Clara CA 5%, Due 08/01/24	B	Interest	K	T	Buy	02/23/15	K		
23. California Infrastructure 5%, Due 10/01/24	B	Interest	K	T	Buy	02/23/15	K		
24. Los Angeles CA 5%, Due 07/01/25	B	Interest	K	T	Buy	02/23/15	K		
25. Pacific Grove CA 5%, Due 08/01/25	B	Interest	K	T	Buy	07/15/15	K		
26. Ukiah CA 4%, Due 08/01/25	B	Interest	L	T	Buy	07/15/15	K		
27. University of CA, 5%, Due 05/15/26	B	Interest	L	T	Buy	02/23/15	L		
28. Bay Area Water Supply, 5%, Due 10/01/26	C	Interest	L	T	Buy	02/23/15	L		
29. San Mateo CA 5%, Due 06/01/27	C	Interest	M	T	Buy	07/15/15	L		
30. Alameda County CA 5.250%, Due 12/01/27	C	Interest	L	T	Buy	02/23/15	L		
31. California St 5%, Due 08/01/28	B	Interest	K	T	Buy	02/23/15	K		
32. State of California 5.25%, Due 10/01/29	B	Interest	K	T	Buy	02/23/15	K		
33. Franklin Global Bond Fund	D	Dividend	O	T	Buy	04/20/15	O		
34. Franklin CA High Yield Muni	D	Dividend	N	T	Buy	07/14/15	N		

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35. Alphabet Inc CL A		None	K	T	Buy	04/22/15	K		
36. Altria Group	B	Dividend	M	T	Buy	02/17/15	M		
37. Apple Inc	A	Dividend	L	T	Buy	04/22/15	L		
38. Berkshire Hathaway		None	L	T	Buy	04/22/15	L		
39. Blackrock Inc	B	Dividend	L	T	Buy	02/17/15	L		
40. Bristol Myers Squibb	A	Dividend	L	T	Buy	02/17/15	L		
41. CA Inc	B	Dividend	L	T	Buy	02/17/15	L		
42. Carinval Corp	B	Dividend	L	T	Buy	02/17/15	L		
43. Chevron Corp	A	Dividend	K	T	Buy	02/17/15	K		
44. Cinn Financial Corp	B	Dividend	L	T	Buy	02/17/15	L		
45. Cisco Systems	A	Dividend	K	T	Buy	02/17/15	L		
46. Coca Cola Co	A	Dividend	K	T	Buy	02/17/15	K		
47. Cognizant Tech		None	K	T	Buy	04/22/15	K		
48. Communications Sales & Leasing	A	Dividend	K	T	Buy	02/17/15	K		
49. Conoco Phillips	B	Dividend	K	T	Buy	02/17/15	K		
50.					Sold (part)	08/03/15	J	A	
51. Core Laboratories	A	Dividend	K	T	Buy	04/22/15	K		

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52. Corrections Corp of America	B	Dividend	K	T	Buy	02/17/15	K		
53. Dominion Resources	A	Dividend	K	T	Buy	02/17/15	K		
54. Duke Energy Corp	B	Dividend	K	T	Buy	02/17/15	K		
55. Express Scripts		None	L	T	Buy	04/22/15	L		
56. General Dynamics	A	Dividend	L	T	Buy	02/17/15	L		
57. General Electric	B	Dividend	L	T	Buy	04/21/15	L		
58. H&R Block		None	L	T	Buy	10/12/15	L		
59. Hasbro Inc	B	Dividend	L	T	Buy	02/17/15	L		
60.					Sold (part)	08/27/15	J	A	
61. Intel Corp	B	Dividend	L	T	Buy	02/17/15	L		
62. Kinder Morgan	C	Dividend	K	T	Buy	02/17/15	K		
63. Kraft Heinz Co	A	Dividend	K	T	Buy	09/10/15	K		
64. LKQ Corp		None	K	T	Buy	04/22/15	K		
65. Lilly Ely & Co	B	Dividend	L	T	Buy	02/17/15	L		
66. Lowes Companies	A	Dividend	L	T	Buy	02/17/15	L		
67. M&T Bank	A	Dividend	K	T	Buy	04/22/15	K		
68. Mead Johnson Nutrition	A	Dividend	K	T	Buy	04/22/15	K		

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69. Microsoft Corp	A	Dividend	L	T	Buy	02/17/15	K		
70.					Sold (part)	08/10/15	J	A	
71. Mosaic Co	A	Dividend	K	T	Buy	02/17/15	L		
72.					Sold (part)	10/12/15	J	A	
73. Newmarket Corp	A	Dividend	K	T	Buy	02/17/15	L		
74. Norfolk Southern	A	Dividend	L	T	Buy	08/27/15	L		
75. Paypal Holdings		None	K	T	Buy	09/08/15	K		
76. Paychex Inc	A	Dividend	K	T	Buy	02/17/15	K		
77. Perrigo Co	A	Dividend	K	T	Buy	04/22/15	K		
78.					Sold (part)	06/08/15	J	A	
79. Pfizer Inc	B	Dividend	L	T	Buy	02/17/15	L		
80. Priceline Group Inc		None	K	T	Buy	04/22/15	K		
81. Qualcomm Inc	B	Dividend	L	T	Buy	04/22/15	L		
82. Reynolds American Inc	B	Dividend	L	T	Buy	02/17/15	L		
83. Schlumberger Ltd	A	Dividend	K	T	Buy	04/22/15	L		
84. Stericycle Inc		None	K	T	Buy	04/22/15	K		
85. Verizon Communications	A	Dividend	K	T	Buy	02/17/15	K		

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86.					Sold (part)	08/10/15	J	A	
87. Verisk Analytics		None	K	T	Buy	04/22/15	K		
88. Visa Inc	A	Dividend	K	T	Buy	04/22/15	K		
89. Wells Fargo & Co	B	Dividend	L	T	Buy	02/17/15	L		
90. Wells Fargo & Co 6% preferred	A	Dividend	K	T	Buy	10/12/15	K		
91.					Sold (part)	04/22/15	K	A	
92. Trust 2: Mt Olive LLC	G	Distribution			Merged (with line 1)	01/01/15	J		
93. IRA Traditional: UBS Bank Deposit	A	Interest	L	T					
94. IRA Traditional: UBS Bank Deposit	A	Interest	L	T					
95. IRA Rollover: UBS Bank Deposit	A	Interest			Merged (with line 94)	02/17/15	K		
96. Coach Inc	A	Dividend			Buy	04/22/15	K		
97.					Sold	12/17/15	K	A	
98. Cummins Inc	A	Dividend			Buy	04/22/15	K		
99.					Sold	11/23/15	K	A	
100. EMC Corp	A	Dividend			Buy	04/22/15	K		
101.					Sold	09/08/15	K	A	
102. National Oilwell Varco	A	Dividend			Buy	04/22/15	K		

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103.					Sold	12/17/15	K	A	
104. Varian Medical Systems		None			Buy	04/22/15	K		
105.					Sold	10/29/15	K	A	
106. Albemarle Corp	A	Dividend			Buy	02/17/15	K		
107.					Sold	08/26/15	K	A	
108. Corning Inc	A	Dividend			Buy	02/17/15	L		
109.					Sold	10/12/15	K	A	
110. Federated Investors	A	Dividend			Buy	02/17/15	L		
111.					Sold	10/12/15	L	A	
112. Lorillard Inc	B	Dividend			Buy	02/17/15	L		
113.					Sold	06/12/15	L	C	
114. Windstream Holdings	B	Dividend			Buy	02/17/15	J		
115.					Sold	07/07/15	J	A	
116.									
117.									
118.									
119.									

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		

Name of Person Reporting	Date of Report
Bea, Carlos T.	08/09/2016

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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Name of Person Reporting

Bea, Carlos T.

Date of Report

08/09/2016

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