

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 07/21/2014
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 01/01/2013 to 12/31/2013
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. 2013		\$76,402.00
2. 2013	San Francisco Judges' Retirement	\$97,193.00
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Federalist Society	01/26/14	Simi Valley, California	Moderate panel	Travel and food
2. George Mason Law School	10/6 - 09/14	Washington D.C.	Attend class - Judge	Travel, hotel and food
3. Pennsylvania Law School - Federalist Society	11/18/14	Philadelphia, Pennsylvania	Give Lecture	Travel and food
4. Federalist Society	11/14-16/14	Washington D.C.	Moderate panel	Travel, hotel, and food
5.				
6.				

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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]	A	Distribution	J	U					
2. [REDACTED]	G	Distribution	O	W					See Note 1, Part VIII
3. Banco Santander	A	Interest	N	T					See Note 2, Part VIII
4. Trees [REDACTED]		None	N	W					See Note 3, Part VIII
5. UBS Money Fund, Inc. Deposit A/C	A	Interest	K	T					
6. AT&T, Inc.	D	Dividend	M	T					
7. Caterpillar, Inc.	B	Dividend	L	T					
8. Chevron Corp.	D	Dividend	M	T					
9. Coco Cola	B	Dividend	L	T					
10. Dodge & Cox Stock Fund	A	Dividend	K	T					
11. EMC Corp. MASS	B	Dividend	M	T					
12. Exxon Mobil Corp.	C	Dividend	M	T					
13. Freeport McMoran Copper & Gold Inc.	D	Dividend	L	T					
14. iShares Gold Trust		None			Sold	05/16/13	P1	F	
15. iShares High Dividend	D	Dividend	M	T					
16. iShares High Dividend		None			Merged (with line 15)	01/01/13	L		
17. iShares High Dividend		None			Merged (with line 15)	01/01/13	L		

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. IShares MSCI Fmtr	C	Dividend	N	T	Buy (add'l)	05/06/13	M		
19. IShare S&P Global Tele Index Fund	D	Dividend	N	T					
20. IShares US PFD Stock	D	Dividend	M	T	Buy	05/06/13	M		
21. McDonalds	B	Dividend	L	T					
22. Ishares MCSI USA Min	C	Dividend	M	T					Name Change
23. Pfizer, Inc.	D	Dividend	N	T					
24. Occidental Petroleum	B	Dividend	L	T					
25. Pepisco Inc	B	Dividend	L	T					
26. Philip Morris	C	Dividend	L	T					
27. Procter & Gamble	C	Dividend	L	T					
28. Range Resources	A	Dividend	M	T					
29. SPDR Gold Trust		None			Sold	05/16/13	M	A	
30. YUM Brands, Inc.	B	Dividend	L	T					
31. SPDR Gold Trust	C	Distribution	P1	T					
32. Trust 1: IShares S&P Global Telecommunications	C	Dividend	L	T	Buy (add'l)	07/31/13	J		Reinvest Dividends
33. Trust 1: Dodge & Cox Stock Fund	A	Dividend	K	T					
34. Trust 1: IShares Gold Trust	A	Dividend	J	T					

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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. Trust 1: SPDR Gold Trust		None			Sold	04/25/13	N	F	
36. Trust 1: SPDR S&P 500	D	Dividend			Sold	12/27/13	N	G	
37. Trust 1: UBS Money Market	A	Interest	J	T					
38. Trust 2: [REDACTED]	G	Distribution	O	W					
39. IShares Gold Trust (s)	A	Dividend			Sold	05/16/13	M	A	
40. IRA Traditional: UBS Bank Deposit	A	Interest	J	T					
41. IRA Traditional: Dodge & Cox Stock Fund	A	Dividend			Sold	12/03/13	J	C	
42. IRA Traditional: IShares Traditional: Russell 1000 (S)		None	K	T					
43. IRA Traditional: SPDR Gold Trust		None	N	T					
44. IRA Traditional: US Treasury TIP	C	Interest	N	T					
45. IRA Rollover: UBS Bank Deposit	A	Interest	J	T					
46. IRA Rollover: Dodge & Cox Stock Fund	A	Dividend			Sold	12/04/13	K	C	
47. IRA Rollover: SPDR Gold Trust		None	J	T					
48. IRA Rollover: US Treasury TIP	C	Interest	N	T					
49. IRA Traditional: MCSI Frontier		None			Buy	01/30/13	J		
50. IRA Traditional: MCSI Frontier		None			Sold	12/03/13	J	A	
51. IRA Traditional USA PFD ETF		None			Buy	01/30/13	J		

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52. IRA Traditional USA PFD ETF		None			Sold	12/03/13	J	A	
53. IRA Rollover: MCSI Frontier		None			Buy	01/30/13	J		
54. IRA Rollover: MCSI Frontier		None			Sold	12/03/13	J	A	
55. IRA Rollover: USA PFD ETF		None			Buy	01/30/13	J		
56. IRA Rollover: USA PFD ETF		None			Sold	12/03/13	J	A	

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

Note 1: Assessed value of [REDACTED] was determined by the Los Angeles County Assessor's Appeal Board.

Note 2: Banco Santander (Spain) has been open for a number of years with minimal amounts.

Note 3: Trees [REDACTED] located on [REDACTED] land (acquired 1959).

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Carlos T. Bea**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544