

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2006**

*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, 9th Circ | 3. Date of Report 05/10/2007 |
| 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) <input type="checkbox"/> Nomination, Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report | 6. Reporting Period 01/01/2006 to 12/31/2006 |
| 7. Chambers or Office Address U.S. Court of Appeals, 9th Cir 95 7th Street, Ste. 205 San Francisco, CA 94103 | 8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____ | |

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. Sign on last page.*

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of instructions.)*

NONE *(No reportable positions.)*

| | <u>POSITION</u> | <u>NAME OF ORGANIZATION/ENTITY</u> |
|----|------------------|------------------------------------|
| 1. | Managing Partner | [REDACTED] LLC |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of instructions.)*

NONE *(No reportable agreements.)*

| | <u>DATE</u> | <u>PARTIES AND TERMS</u> |
|----|-------------|---|
| 1. | 1/23/90 | Judges Retirement System (State of California) PERS |
| 2. | 1/23/90 | City and County of San Francisco Deferred Compensation Plan (Aetna) |
| 3. | 10/7/03 | U.S. Court of Appeals - Thrift Savings Plan |

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of 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. 2006 | ██████████ LLC | \$ 67,637.16 |
| 2. 2006 | Judges Retirement System | \$ 85,995.36 |
| 3. 2006 | ING Life Ins & Annuity | \$ 4,464.85 |
| 4. 2006 | IRA Rollover | \$ 23,390.00 |
| 5. 2006 | IRA | \$ 30,158.00 |

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. | |
| 5. | |

IV. REIMBURSEMENTS – transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

 NONE (No reportable reimbursements.)

| <u>SOURCE</u> | <u>DESCRIPTION</u> |
|---|--|
| 1. ACI (American Conference Institute) | 9/26-28/06, National Advanced Forum on Consumer Finance Class Actions and Litigation, New York, NY (Transportation, Meals, and Room) |
| 2. ABTL (Association of Business Trial Lawyers) | 10/18-22/06, Annual Seminar, Maui, HI (Transportation, Meals, and Room) |
| 3. The Federalist Society | 11/12-19/06, Annual National Lawyers Convention, Washinton D.C. (Transportaion, Meals, and Room) |
| 4. | |

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*

NONE *(No reportable liabilities.)*

| | <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|---|---|-------------------|
| 1. | Visa Credit Cards; First USA Bank, N.A. per license from Visa U.S.A. | Charges for living expenses, including travel and tuition charges | K |
| 2. | U.B.S. | Loans for ██████████ LLC | N |
| 3. | | | |
| 4. | | | |
| 5. | | | |

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | (5) Identity of buyer/seller (if private transaction) |
| 1. Dodge & Cox Stock Fund | E | Dividend | P1 | T | Buy | 12/29 | O | | N/A |
| 2. Vanguard Calif. Inter. Tax Exempt | E | Dividend | O | T | Buy | 12/29 | K | | |
| 3. UBS Money Fund, Inc. | A | Dividend | J | T | | | | | |
| 4. Russell 1000 Value (IWD) | E | Dividend | O | T | Sale | 02-03 | L | E | |
| 5. Franklin Templeton Cal Tax Exempt Fund CB | B | Dividend | L | T | | | | | |
| 6. Franklin Templeton Cal Tax Free Fund LB | D | Dividend | N | T | | | | | |
| 7. Cal St GO Ambac 5.5% '09 | C | Interest | L | T | | | | | |
| 8. Cal St Veteran GO 5.75% '10 | C | Interest | L | T | | | | | |
| 9. Fresno Ca Jt Pwrs FNG 4% '08 | C | Interest | L | T | | | | | |
| 10. Lassen Ca Mun Util Rev FSA 4.5% '11 | C | Interest | L | T | | | | | |
| 11. Los Angeles Co Met Serv 6% '11 | C | Interest | L | T | | | | | |
| 12. San Fran Ca Int'l Airport 4% '10 | C | Interest | L | T | | | | | |
| 13. San Mateo Cnty Jr. Pwr 3.6% '09 | C | Interest | L | T | | | | | |
| 14. IRA-Ford Motor Credit 6.875% '06 | C | Interest | L | T | Redemption | 02-01 | L | A | |
| 15. Genl Motors Corp 7.1% '06 | C | Interest | L | T | Redemption | 03-15 | L | A | |
| 16. Target Corp Notes 6.35% '11 | C | Interest | L | T | Sale | 04-07 | L | A | |
| 17. US Tsy Note 3.25% '07 | B | Interest | M | T | | | | | |

| | | | | | |
|--|--|--|---|---|-------------------------|
| 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 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 |
| 2. Value Codes (See Columns C1 and D3) | | | | | |
| 3. Value Method Codes (See Column C2) | Q = Appraisal U = Book Value | | | | |

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|---|---|--|---|---|--|-------------------------------|---------------------------------|--------------------------------|---|
| | (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 Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | (5) Identity of buyer/seller (if private transaction) |
| 18. US Tsy Note 5.0% '11 | D | Interest | M | T | Sale | 04-07 | M | A | |
| 19. US Tsy Note 5.5% '09 | D | Interest | M | T | Sale | 04-07 | L | A | |
| 20. US Tsy Note 6.125% '07 | D | Interest | M | T | | | | | |
| 21. Ford Motor Credit 6.875% '06 | C | Interest | K | T | Sale | 02-01 | L | A | |
| 22. Genl Motors Corp 7.1% | C | Interest | L | T | Sale | 03-15 | L | A | |
| 23. Target Corp NTS 6.35% '11 | C | Interest | L | T | Sale | 04-07 | L | A | |
| 24. US Tsy Note 5.0% '11 | C | Interest | M | T | Sale | 04-07 | L | A | |
| 25. US Tsy Note 5.5% '09 | D | Interest | M | T | Sale | 04-07 | M | A | |
| 26. Hummer/Winblad III Ltd Part | A | Distribution | K | W | | | | | |
| 27. F&F Flair Center El Monte, Ltd Part LB | D | Distribution | K | W | | | | | |
| 28. ██████████ LLC | G | Distribution | O | S | | | | | |
| 29. | | | | | | | | | |

| | | | | | |
|--|--|--|---|---|-------------------------|
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|--|--|--|---|---|-------------------------|

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

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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



Date

MAY 11 2007

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544