AO 10 Rev. 1/2008

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008

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)	**2. Court or Organization**	**3. Date of Report**
Bea, Carlos T.	U.S. Court of Appeals for the Ninth Circuit	04/07/2009
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** 01/01/2008 to 12/31/2008
7. Chambers or Office Address U.S. Court of Appeals for the Ninth Circuit 95 Seventh St., Suite 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 filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	[redacted]	[redacted]
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 System, State of California (PERS)
2.	1/23/1990	City and County of San Francisco Deferred Compensation Plan (Aetna)
3.		

Bea_Carlos_T

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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. 2008	[redacted]	$77,414.00
2. 2008	SF Judges Retirement	$97,193.00
3. 2008	ING Life Insurance & Annuity	$6,232.00
4. 2008	Chapman Law School (Teaching Fee)	$3,500.00

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.)*

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. Committee for the American Founding	9/25/08 - 9/29/08	Amherst, MA	Teaching	Travel, lodging, food
2. Gruter Institute	5/20/08 - 5/23/08	Olympic Valley, CA	Attend seminar	Travel, lodging, food, registration fees
3. Chapman Law School	4/15/08 - 4/19/08	Orange, CA	Resident scholar	Travel, lodging, food
4. Federalist Society	11/19/08 - 11/23/08	Washington, DC	Panelist	Travel, lodging, food
5. Foundation for Research on Economics and the Environme nt	8/10/08 - 8/14/08	Gallatin Gateway, MT	Attend seminar	Travel, lodging, food
6. University of Georgia Law S chool	11/13/08 - 11/15/08	Athens, GA	Moot court competition	Travel, lodging, 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.	Visa credit cards; First USA Bank, N.A. per license from Visa USA	Charges for living expenses, including travel and tuition charges	K
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 (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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	C	Dividend	J	T	Redeemed (part)	9/22	O	G	
2. Dodge & Cox Stock Fund	C	Dividend	J	T	Redeemed (part)	10/10	N	A	
3. Vanguard Calif. Inter. Tax Exempt	C	Dividend	O	T	Sold (part)	10/24	O	A	Exchange
4. UBS Money Fund, Inc.	A	Dividend	J	T					
5. Russel 1000 Value (IWD)	E	Dividend			Sold	10/10	N	A	Exchange
6. Franklin Templeton Cal. Tax Exempt Fund CB	C	Dividend	N	T					
7. Franklin Tempelton Cal. Tax Exempt Fund LB	A	Dividend	J	T					
8. Cal. St. GO Ambac 5.5% '09	C	Interest	L	T					
9. Cal. St. Veteran GO 5.75% '10	C	Interest	L	T					
10. Fresno Ca Jt Pwrs FNG 4% '08	C	Interest	L	T					
11. Lassen Ca Mun Util Rev FSA 4.5% '11	C	Interest	L	T					
12. Los Angeles Co Met Serv 6% '11	C	Interest	L	T					
13. San Fran Int'l Airport 4% '10	C	Interest	L	T					
14. San Mateo Cnty Jr. Pwr 3.6% '09	C	Interest	L	T					
15. Hummer/Winblad III Ltd Part	A	Distribution	K	W					
16. F&F Flair Center El Monte, Ltd part LB	E	Distribution	K	W					
17. [redacted]	G	Distribution	N	W					

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Ishares Trust Russel 1000 Value Index Fund	D	Dividend	O	T	Sold (part)	10/10	N	A	Exchange
19. Dodge & Cox Int'l Stock Fund	E	Dividend	P1	T	Redeemed (part)	9/22	N	A	
20. Dodge & Cox Int'l Stock Fund	E	Dividend	P1	T	Redeemed (part)	10/10	N	A	
21. U.S. Oil Fund	A	Dividend			Sold	12/18	L	A	
22. Ishares FTSE/Xinghua China 25	A	Dividend	L	T	Buy	11/10	L		
23. U.S. Tsy Note 3.25% '09	D	Interest	N	T	Buy	10/15	N		
24. U.S. Tsy Note 3.85% '09	E	Interest	O	T	Buy	10/15	O		
25. Vanguard Tax Exempt Money Market	C	Dividend	O	T	Buy	10/24	O		
26. IRA (Ishares Trust Russel 1000 VIF, Dodge & Cox SF)	E	Distribution	N	T					
27. IRA Rollover (Ishares Trust Russel 1000 VI F, Dodge & Cox SF)	E	Distribution	N	T					

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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.

Signatu[redacted] APR 0 8 2009

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