



UNITED STATES COURT OF APPEALS
FOR THE NINTH CIRCUIT

95 SEVENTH STREET, SUITE 205
SAN FRANCISCO, CALIFORNIA 94103-1526

CHAMBERS OF
CARLOS TIBURCIO BEA
U.S. CIRCUIT JUDGE

June 30, 2006

TEL: 415.556.3000
FAX: [REDACTED]

Judge Ortrie D. Smith
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle N.S.
Washington, D.C. 20544

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2006 JUL -5 A 11:19
FINANCIAL
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Re: Calendar Year 2005 Filing

Dear Judge Smith:

I have your letter of June 20, 2006. Thank you for your advice regarding filling out the next report.

With respect of the paragraph which you state requires a response:

1. [REDACTED]

2. **Bedford Pty Inv.** This investment was sold 12/29/94. The information should have been reported, and was not, in error. The value code was "N". The gain code was "M". The securities were sold on a national stock exchange so I do not know the buyer's identity.

3. **San Diego Cnty partn'r rf smbac 5.25% '05** (not '10 as your letter states) were redeemed on their maturity date September 1, 2006, resulting in a loss of \$5.10. The "gain code" would be "J".

Please acknowledge receipt of this letter and inform me whether anything further is necessary for me to do.

Very truly yours,

[REDACTED]

Carlos Tiburcio Bea
U.S. Circuit Judge

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2005**

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 05/15/2006
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 01/01/2005 to 12/31/2005
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 _____	
<p>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.</p>		

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.	

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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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting Bea, Carlos T	Date of Report 05/15/2006
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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. 2005	██████████ LLC	\$ 68,279.23
2. 2005	Judges Retirement System 10/4/04 - 12/31/03	\$ 81,086.00
3. 2005	United States Court of Appeals for the Ninth Circuit, San Francisco	\$ 145,392.00
4.		
5.		

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.	
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2005

(CONTINUATION)

From P. 1, III. Non-Investment Income, A.

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>GROSS INCOME</u>
4)	2005	ING Life Ins & Annuity	\$ 4,556.00
5)	2005	IRA Rollover	\$28,048.00
6)	2005	IRA	\$29,450.00

FINANCIAL DISCLOSURE REPORT
Page 3 of 7

Name of Person Reporting
Bea, Carlos T

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05/15/2006

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. 32-34 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.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bea, Carlos T

Date of Report

05/15/2006

VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-37 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, merger, redemption)	If not exempt from disclosure			
						(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	Reinvest sel	12/29	K	E	N/A
2. Vanguard Calif. Inter. Tax Exempt	E	Dividend	O	T					
3. UBS Money Fund, Inc.	A	Dividend	J	T					
4. Russell 1000 Value (TWD)	D	Dividend	O	T					
5. Franklin Templeton Cal Tax Exempt Fund CB	B	Dividend	M	T					
6. Franklin Templeton Cal Tax Free Fund LB	D	Dividend	N	T					
7. Cal St Dept Wtr Res 5.9% '05	C	Interest	L	T					
8. Cal St G.O.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% '03	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 Ca Int'l Airport 4% '10	C	Interest	L	T					
14. San Mateo Cnty Jr. Pwr 3.6% '09	C	Interest	L	T					
15. IRA-Ford Motor Credit 6.875% '06	C	Interest	L	T					
16. Genl Motors Corp 7.1% '06	C	Interest	L	T					
17. Target Corp Notes 6.35% '11	C	Interest	L	T					

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bea, Carlos T

Date of Report

05/15/2006

VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 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, merger, redemption)	If not exempt from disclosure			
						(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 3.25% '07	B	Interest	M	T					
19. US Tsy Note 5.0% '11	D	Interest	M	T					
20. US Tsy Note 5.5% '09	D	Interest	M	T					
21. US Tsy Note 6.125% '07	C	Interest	M	T					
22. Ford Motor Credit 6.875% '06	C	Interest	K	T					
23. Genl Motors Corp 7.1%	C	Interest	L	T					
24. Target Corp NTS 6.35% '11	C	Interest	L	T					
25. US Tsy Note 5.0% '11	C	Interest	M	T					
26. US Tsy Note 5.5% '09	D	Interest	M	T					
27. Hummer/Winblad III Ltd Part	A	Distribution	K	W					
28. F&F Flair Center El Monte, Ltd Part LB	D	Distribution	K	W					
29. ██████████ LLC	G	Distribution	O	S					
30.									

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bea, Carlos T

Date of Report

05/15/2006

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

Part 7: Assessment by Los Angeles County Assessor for tax year 2004-2005 was \$1,853,053 for entire property. Filer owns 45% of partnership, which owns the land and buildings.

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Name of Person Reporting

Bea, Carlos T

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05/15/2006

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

APR 28 2006

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



UNITED STATES COURT OF APPEALS
FOR THE NINTH CIRCUIT

95 SEVENTH STREET, SUITE 205
SAN FRANCISCO, CALIFORNIA 94103-1526

SELF INITIATED
AMENDMENT

CHAMBERS OF
CARLOS TIBURCIO BEA
U.S. CIRCUIT JUDGE

TEL: 415.556.3000

FAX: 415.556.3001

Judge_Bea@ca9.uscourts.gov

May 18, 2006

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

Re: Amendment to 2005 Financial Disclosure Report

Dear Mr. Smith:

The enclosed is an amendment to my 2005 Financial Disclosure Report. Should there be any additional questions or concerns, please do not hesitate to contact me at the above-referenced address and/or phone number.

Sincerely,


Carlos T. Bea
U.S. Circuit Judge

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting:

Bea, Carlos T

Date of Report

05/15/2006

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> <i>(yours, not spouse's)</i>
1. 2005	██████ LLC	\$ 68,279.23
2. 2005	Judges Retirement System 10/4/04 - 12/31/03	\$ 81,086.00
3. 2005	United States Court of Appeals for the Ninth Circuit, San Francisco	\$ 145,392.00
4.		
5.		

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. NARTC (National Association of Railroad Trial Counsel)	10/23-24/05, Combined Regional Annual meeting Of the Southwest and Pacific Regions, (Transportation, Meals, and Room)
2.	
3.	
4.	
5.	