

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010**

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 05/15/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address U.S. Court of Appeals for the Ninth Circuit 95 Seventh Street, Suite 205 San Francisco, California 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

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

NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	1/23/1990	Judges Retirement System, State of California (PERS)
2.	1/23/1990	City and County of San Francisco Deferred Compensation Plan (Great Western Retirement Services)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2010	[REDACTED]	
2. 2010	San Francisco Judges' Retirement	
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2010	[REDACTED]
2. 2010	San Francisco Judges' Retirement
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Law Offices of Alisa Thomas	1/6/2010	Santa Cruz, California	Speech to Santa Cruz Immigration Bar	Travel
2.	Federalist Society	3/1/2010	Simi Valley, California	Moderate a panel	Travel, lodging, food
3.	Davis School of Law	3/19/10	Davis, California	Judge a Moot Court	Travel, lodging, food
4.	[REDACTED]	6/22/2010	Los Angeles, California	Appear before tax court for a hearing	Travel, lodging, food
5.	[REDACTED]	9/21/2010	Los Angeles, California	Appear before tax court for a hearing	Travel, lodging, food

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6.	Reno Federal Bar Association	12/13/2010	Reno, California	Speech to the Reno Federal Bar Association	Travel, lodging, food
7.	Federalist Society	9/29/2010-10/2/2010	Phoenix, Arizona	Speech	Travel, lodging, food
8.	Federalist Society	11/17/2010-11/22/2010	Washington D.C.	Moderate a panel for the annual convention	Travel, lodging, food
9.		12/30/2010	Los Angeles, California	Appear before tax court for a hearing	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.)*

<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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)	
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)	
1.										
2. FPA Associates, L.L.C., Newport Beach, CA	A	Rent	J	U						
3. Franklin Templeton Cal. Tax Exempt Fund	A	Dividend	M	T						
4. Hummer/Winblad 11 Ltd. Partnership	A	Distribution			Distributed	09/15/10	J	A	Hummer/Winblad	
5. Vanguard California Tax-Exempt Money Market	A	Dividend	J	T						
6. [REDACTED]	G	Distribution	N	S						
7. Currency Shares: Australian Dollar Trust SHS	B	Interest			Sold	02/03/10	M	D	Market	
8. Currency Shares: British Pound Sterling Trust SHS	A	Interest			Sold	02/05/10	M	A	Market	
9. Ishare MSCI Canada Index FD	A	Dividend			Sold	02/03/10	N	D	Market	
10. Ishare JP Morgan USD Bond Fund: EMB	B	Dividend			Sold	02/03/10	M	D	Market	
11. Ishare S&P Global Info Tech Index FD	D	Dividend			Sold	02/03/10	N	E	Market	
12. Powershares DBA Argiculture	A	Dividend			Sold	02/03/10	M	A	Market	
13. UBS Money Fund, Inc. Deposit A/C	A	Int./Div.	K	T						
14. AT&T Inc.	B	Dividend	M	T						
15. Blackrock Inc.	A	Dividend	K	T						
16. Caterpillar Inc.	A	Dividend	L	T						
17. Chevron Corp.	A	Dividend	M	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

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

H2 = More than \$5,000,000
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. Cisco Systems Inc.	A	Dividend	L	T						
19. Comerica Inc.	A	Dividend	L	T						
20. Cummins Inc.	A	Dividend	M	T						
21. EMC Corp. MASS	A	Dividend	M	T						
22. Exxon Mobil Corp	A	Dividend	M	T						
23. Dodge & Cox Stock Fund	A	Dividend	J	T						
24. Fifth Third Bank Corp	A	Dividend	L	T						
25. Freeport_McMoran Copper & Gold Inc.	B	Dividend	M	T						
26. Ishares Inc. MSCI Switz Index FD	C	Dividend	O	T						
27. Google Inc. CL A	A	Dividend	M	T						
28. McDonalds Corp	C	Dividend	M	T						
29. Merk & Co Inc. New COM	B	Dividend	M	T						
30. Pfizer Inc.	B	Dividend	M	T						
31. Polo Ralph Lauren Corp.	A	Dividend	L	T						
32. Quinstreet Inc Com	A	Dividend	L	T						
33. Vale SA-SP SPON ADR	A	Dividend	L	T						
34. YUM! Brands Inc	A	Dividend	L	T						

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

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35. Ishare S&P Global Tele Index FD	A	Dividend	N	T					
36. Currency Shares Swiss Franc Trust SHS	A	Dividend	N	T					
37. Currency Shares Japanese Yen Trust SHS	A	Dividend	N	T					
38. SPDR Lehman Intl Treas Bond	C	Dividend	O	T					
39. SPDR Gold Trust	B	Distribution	O	T					
40. IRA Traditional: UBS Bank Deposit	A	Interest	J	T					
41. IRA Traditional: ISHARES Inc MSCI Switz Index FD	A	Dividend	J	T					
42. IRA Traditional: Dodge & Cox Stock Fund	A	Dividend	J	T					
43. IRA Traditional: US Treasury TIP	D	Interest	N	T					
44. IRA Traditional: Ishares S&P Global IXG	A	Dividend			Sold	09/07/10	K	A	Market
45. IRA Rollover: UBS Bank Deposit	A	Interest	J	T					
46. IRA Rollover: Ishares Inc MSCI Switz Index FD	A	Dividend	J	T					
47. IRA Rollover: Dodge & Cox Stock Fund	A	Dividend	J	T					
48. IRA Rollover: US Treasury TIP	D	Interest	N	T					
49.									

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

Part VII. Item 6. Assessed value is \$1,200,000.00.

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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 WILFULLY 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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