AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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** 05/30/2013
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** 01/01/2012 to 12/31/2012
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.	[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 Systems, State of California (PERS)
2.	1/23/1990	City and County of San Francisco Deferred Compensation Plan (Aetna)
3.		

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.	2012	[redacted]	$73,415.00
2.	2012	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	01/28/12	Simi Valley, California	Moderate panel	Travel and food
2.	Notre Dame Law School	03/28-31/13	South Bend, Indiana	Teach class	Travel, hotel and food
3.	George Mason Law School	09/22-28/13	Rosslyn, Virginia	Attend class - judges	Travel, hotel and food
4.	Federalist Society	11/15-17/13	Washington D.C.	Moderate panel	Travel, hotel, and food
5.					

Name of Person Reporting	Date of Report
Bea, Carlos T.	05/30/2013

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.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Bea, Carlos T.	05/30/2013

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1.	FPA Associates, L.L.C, Newport Beach, CA	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 (Spain)		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	J	T					
11.	EMC Corp. MASS		None	M	T					
12.	Exxon Mobil Corp.	C	Dividend	M	T					
13.	Freeport McMoran Copper & Gold Inc.	C	Dividend	L	T					
14.	IShares Gold Trust		None	M	T	Buy	11/08/12	M		
15.	Ishares High Dividend	D	Dividend	M	T	Buy	11/09/12	M		
16.	IShares High Dividend	B	Dividend	N	T	Buy	09/14/12	N		
17.	IShares High Dividend		None			Sold (part)	11/09/12	N	A	

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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☐ 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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. IShares Inc. MSCI Switz Index Fund	D	Dividend			Sold	03/06/12	O	F	
19. IShares MSCI Frntr		None	M	T	Buy	11/19/12	M		
20. IShare S&P Global Tele Index Fund	E	Dividend	N	T					
21. McDonalds	B	Dividend	L	T					
22. Ishares USA Min	B	Dividend	M	T	Buy	11/08/12	M		
23. Moasic Co		None			Sold	03/06/12	M	A	
24. Pfizer, Inc.	D	Dividend	M	T					
25. Occidental Petroleum	B	Dividend	L	T					
26. Pepisco Inc	B	Dividend	L	T					
27. Philip Morris	C	Dividend	L	T					
28. Potash Corp	A	Dividend			Sold	11/27/12	L	A	
29. Procter & Gamble	B	Dividend	L	T					
30. Range Resources	A	Dividend	M	T					
31. SPDR Gold Trust		None	P1	T	Buy (add'l)	09/14/12	N		
32. SPDR Gold Trust		None	P1	T	Sold (part)	11/05/12	N	A	
33. Talisman Energy	B	Dividend			Sold	03/06/12	L	A	
34. Vale SA-SP SPON ADR	B	Dividend			Sold	03/06/12	K	A	

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35. YUM! Brands, Inc.	B	Dividend	L	T					
36. Currency Shares Swiss Franc Trust SHS		None			Sold	11/27/12	N	E	
37. Currency Shares Japanese Yen Trust SHS		None			Sold	11/27/12	N	E	
38. SPDR Gold Trust	C	Distribution	P1	T	Sold (part)	03/07/12	J	C	
39. Trust 1: IShares S&P Global Telecommunications	C	Dividend	L	T					
40. Trust 1: Dodge & Cox Stock Fund	A	Dividend	J	T					
41. Trust 1: IShares Gold Trust	A	Dividend	J	T	Buy	11/20/12	J		
42. Trust 1: SPDR Gold Trust		None	N	T					
43. Trust 1: SPDR S&P 500	D	Dividend	N	T					
44. Trust 1: UBS Money Market	A	Interest	J	T					
45. Trust 2: [redacted]	G	Distribution	O	W					
46. IShares Gold Trust [redacted]	A	Dividend	M	T	Buy	10/18/12	M		
47. IRA Traditional: UBS Bank Deposit	A	Interest	J	T					
48. IRA Traditional: Dodge & Cox Stock Fund	A	Dividend	J	T					
49. IRA Traditional: IShares Tradional: Russell 1000 [redacted]		None	K	T					Left off prior report
50. IRA Traditional: SPDR Gold Trust		None	N	T	Buy	06/12/12	J		
51. IRA Traditional: US Treasure TIP	D	Interest	N	T	Sold (part)	10/22/12	K	A	

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	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	
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52. IRA Rollover: UBS Bank Deposit	A	Interest	J	T					
53. IRA Rollover: Dodge & Cox Stock Fund	A	Dividend	J	T					
54. IRA Rollover: SPDR Gold Trust		None	J	T	Buy	06/12/12	J		
55. IRA Rollover: US Treasure TIP	D	Interest	N	T	Sold (part)	10/22/12	K	A	

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

Note 1: Assessed value [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, but in 2011 deposits were made from sales of trees.

Note 3: Trees (Spain) located on [redacted] land (acquired 1959) were partially sold in 2012. Some of funds were deposited in Banco Santander.

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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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