

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) WILKEN, CLAUDIA	2. Court or Organization USDC FOR THE NO DIST OF CALIF	3. Date of Report 5/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT JUDGE, SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 1301 CLAY STREET OAKLAND, CA 94612		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	TRUSTEE	TRUST #3
2.	TRUSTEE	TRUST #5
3.	TRUSTEE	TRUST #6
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.		
2.		
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

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.)*DATESOURCE AND TYPE

1. 2017

SELF-EMPLOYED ATTORNEY

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

NONE (No reportable gifts.)

SOURCEDESCRIPTIONVALUE

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.)

CREDITORDESCRIPTIONVALUE CODE

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) 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. Wells Fargo Bank accounts	A	Interest	L	T					
2. Schwab Cash Deposit Account	A	Int./Div.	J	T					
3. USAA Tax Exempt Inter-term Fd	A	Dividend	J	T					
4. Schwab S&P 500 Index Fd	A	Dividend	K	T					
5. Schwab US Tsy Money Fd	A	Int./Div.	K	T					
6. Schwab S&P 500 Index Fd	C	Dividend	M	T					
7. USAA Tax Exempt Inter-term Fd	B	Dividend	L	T	Buy (add'l)	01/05/17	J		
8.					Buy (add'l)	02/06/17	J		
9.					Buy (add'l)	03/06/17	J		
10.					Buy (add'l)	06/19/17	J		
11. Baird Core Plus Bd Inv	B	Dividend	K	T	Buy (add'l)	01/20/17	J		
12.					Buy (add'l)	02/21/17	J		
13.					Buy (add'l)	03/20/17	J		
14.					Buy (add'l)	06/19/17	J		
15. Schwab Fund Intl Large Co Index	A	Dividend	J	T	Buy	08/30/17	J		
16. Schwab Bank Savings Sweep	A	Int./Div.	K	T					
17. Charles Schwab US REIT	A	Dividend	J	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 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) 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 I (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)

18. IShares Gold ETF		None	J	T					
19. IShares High Yield Corporate Bond ETF	A	Dividend	J	T	Buy (add'l)	04/19/17	J		
20.					Buy (add'l)	08/15/17	J		
21.					Buy (add'l)	09/12/17	J		
22. Schwab Emerging Markets Equity ETF	A	Dividend	J	T					
23. Schwab Fundamental Emerg Mkts Lg Co ETF	A	Dividend	J	T					
24. Schwab Fundamental Intl Lg Co ETF	A	Dividend	J	T	Buy (add'l)	04/19/17	J		
25. Schwab Fundamental Intl Sm Co ETF	A	Dividend	J	T					
26. Schwab Fundamental US Large Co ETF	A	Dividend	K	T	Buy (add'l)	04/19/17	J		
27.					Buy (add'l)	08/15/17	J		
28.					Buy (add'l)	09/12/17	J		
29. Schwab Fundamental US Small Co ETF	A	Dividend	K	T	Buy (add'l)	04/19/17	J		
30.					Buy (add'l)	08/15/17	J		
31. Schwab International Equity ETF	A	Dividend	J	T					
32. Schwab International Small Cap Eqty ETF	A	Dividend	J	T					
33. Schwab US Large Cap ETF	A	Dividend	K	T	Buy (add'l)	04/19/17	J		
34.					Buy (add'l)	09/12/17	J		

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		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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. Schwab US Small Cap ETF	A	Dividend	J	T	Buy (add'l)	04/19/17	J		
36. VanEck Vectors JP Morgan EM Loc Curr Bd ETF	A	Dividend	K	T	Buy (add'l)	04/19/17	J		
37.					Buy (add'l)	08/15/17	J		
38. Vanguard Global ex-US Real Est ETF	A	Dividend	J	T					
39. SPDR Blmbg Brclly Emg Mkt LCL ETF		None	J	T	Buy	12/26/17	J		
40. Xtrackers USD High Yield Cor Bond ETF		None	J	T	Buy	12/26/17	J		
41. IRA #1: Schwab Cash Deposit Account		None	J	T	Open	12/29/17	J		
42. IRA #1: Schwab US Tsy Money Fd	A	Int./Div.	J	T					
43. IRA #1: Invensense Inc		None			Sold	05/19/17	J		
44. IRA #1: Baird Core Plus Bd Inv	A	Dividend	J	T	Buy (add'l)	06/19/17	J		
45. IRA #1: Dreyfus Small Cap Stock Index Fd	A	Dividend	J	T					
46. IRA #1: Powershares S&P International DE ETF	A	Dividend	K	T	Buy (add'l)	06/19/17	J		
47. IRA #2: Schwab US Tsy Money Fd	A	Int./Div.	J	T					
48. IRA #2: Dodge & Cox Income Fd	C	Dividend	L	T					
49. IRA #2: Dreyfus International Stock Index Fd		None			Sold (part)	01/23/17	K		
50.					Sold (part)	05/08/17	J		
51.					Sold (part)	06/19/17	J		

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
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52.					Sold (part)	07/27/17	J	A	
53.					Sold	10/03/17	K	A	
54. IRA #2: Vanguard 500 Index Fd	C	Dividend	M	T					
55. IRA #2: Ishares Russell 2000	A	Dividend	K	T					
56. IRA #2: Baird Core Plus Bd Inv	C	Dividend	M	T					
57. IRA #2: Schwab US Aggregate Bond ETF	A	Dividend	J	T					
58. IRA #2: Ishares Core S&P ETF	A	Dividend	K	T					
59. IRA #2: SPDR S&P 500 ETF	B	Dividend	M	T					
60. IRA #2: SPDR S&P Dividend ETF	B	Dividend	K	T					
61. IRA #2: Powershares S&P International DE ETF	B	Dividend	L	T	Buy (add'l)	01/23/17	J		
62.					Buy (add'l)	05/08/17	J		
63.					Buy (add'l)	06/19/17	J		
64.					Buy (add'l)	07/27/17	J		
65.					Sold (part)	10/03/17	J	A	
66. IRA #2: Schwab Fund Intl Large Co Index	A	Dividend	J	T	Buy	09/08/17	J		
67. SEP-IRA #1: Schwab Cash Deposit Account	A	Int./Div.	J	T	Open	03/30/17	K		
68. SEP-IRA #1: Baird Core Plus Bd Inv	A	Dividend	J	T	Buy	04/17/17	J		

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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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. SEP-IRA #1: Schwab S&P 500 Index Fd	A	Dividend	K	T	Buy	04/17/17	J		
70.					Buy (add'l)	05/05/17	J		
71.					Buy (add'l)	06/05/17	J		
72.					Buy (add'l)	07/05/17	J		
73.					Buy (add'l)	08/07/17	J		
74.					Buy (add'l)	09/05/17	J		
75.					Buy (add'l)	10/05/17	J		
76. SEP-IRA #1: SPDR S&P 500 ETF	A	Dividend	J	T	Buy	04/17/17	J		
77. SEP-IRA #1: Schwab Fund Intl Small Co Index		None	J	T	Buy	08/30/17	J		
78. Trust #3: Schwab 529 Aggressive		None			Sold	04/05/17	K		
79. Trust #3: Schwab 529 60% Equity Portfolio		None	K	T	Buy	04/05/17	K		
80. Trust #5: Schwab 529 Moderate		None			Sold	04/21/17	K		
81. Trust #5: Schwab 529 60% Equity Portfolio		None	K	T	Buy	04/21/17	K		
82. Trust #6: Schwab 529 Aggressive		None			Sold	04/21/17	J		
83. Trust #6: Schwab 529 95% Equity Portfolio		None	J	T	Buy	04/21/17	J		

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 \$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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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: S/ CLAUDIA WILKEN

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544