

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Eagan, Claire V.	2. Court or Organization USDC/N. Dist. of Oklahoma	3. Date of Report 3/16/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 333 W. 4th Street, Room 411 Tulsa, Oklahoma 74103		
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 #1 [See #2 in Part VII and Note #1 in Part VIII]
2.	Trustee	Trust #2 [See #3 in Part VII and Note #2 in Part VIII]
3.	Director	Oklahoma Medical Research Foundation (non-profit medical research organization)
4.	Trustee	Saint Francis of Assisi Tuition Assistance Trust (non-profit educational assistance organization)
5.	Trustee	Saint Clare of Assisi Disadvantaged Schools Trust (non-profit educational assistance organization)
6.	Member	University of Tulsa College of Law Dean's Advisory Board (private educational institution)
7.	Member	Junior League of Tulsa, Inc. Community Advisory Board (non-profit volunteer organization)
8.	Trustee	Trust #3 [See Note #3 in Part VIII]

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting	Date of Report
Eagan, Claire V.	3/16/2017

3. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Eagan, Claire V.

Date of Report

3/16/2017

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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Eagan, Claire V.

Date of Report

3/16/2017

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Eagan, Claire V.

Date of Report

3/16/2017

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. Property #1 - Tulsa, OK		None	L	W					
2. Trust #1 (See Note #1 in Part VIII)		None	J	T					
3. Trust #2 (See Note #2 in Part VIII)									
4. Schwab #1 - IRA									
5. - Schwab Money Market Fund		None	K	T					
6. - Russell Emerging Markets Fund	A	Dividend	K	T					
7. - Russell Global Equity Fund	D	Dividend	L	T					
8. - Baron Partners Fund (Zero ending balance)		None			Sold	01/12/16	L	E	
9. - Royce Premier Fund (Zero ending balance)		None			Sold	01/12/16	L		
10. - Jensen Quality Growth	C	Dividend	L	T					
11. - Loomis Sayles Global Markets	B	Dividend	M	T					
12. -Royce Global Value Fd Invst (Zero ending balance)		None			Sold	01/12/16	K		
13. - Nuance Concentrated Value	A	Dividend	L	T					
14. - Artisan Int'l Small Cap	C	Dividend	K	T					
15. - Dodge & Cox Int'l	B	Dividend	K	T					
16. - AMG GW&K (Zero ending balance)		None			Sold	01/12/16	M		
17. - Stone Ridge High Yield (Zero ending balance)	C	Dividend			Sold	12/12/16	M		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Eagan, Claire V.

Date of Report

3/16/2017

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)

18. - Stone Ridge Reinsurance	D	Dividend	M	T					
19. -Metropolitan West Total Ret Bond	C	Dividend	M	T	Buy (add'l)	01/12/16	M		
20. -Schwab Strategic TR US (Now known as "Schwab US Large Cap")	B	Dividend	L	T					
21. - Artisan Intl Fund Adv	A	Dividend	K	T					
22. - William Blair Macro	C	Dividend	M	T					
23. - Ishares Rullell Midcap	B	Dividend	M	T	Buy	01/12/16	L		
24. - Stoneridge Reinsurance Risk	D	Dividend	M	T	Buy	12/12/16	M		
25. - Undiscovered Mgrs Behavioral Value	C	Dividend	M	T	Buy	01/12/16	L		
26. - Versus Cap Multi Mgr RE Income	C	Dividend	L	T	Buy	01/12/16	L		
27. Schwab #2 - Investment Acct. [CLOSED] (See Note #2 in Part VIII)					Closed				
28. - Schwab Money Market Fund (Zero ending balance)		None							
29. - Wisdomtree EMSIF (Zero ending balance)		None			Sold	01/12/16	J		
30. -Maingate MLP FD C1 (Zero ending balance)		Dividend			Buy (add'l)	01/12/16	K		
31. -Thornburg Invt Income Builder (Zero ending balance)									
32. - Lazard Global Listed (Zero ending balance)									
33. Schwab #3 - IRA									
34. - Schwab Money Market		None	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Eagan, Claire V.

Date of Report

3/16/2017

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)
35. - Russell Emerging Markets	A	Dividend	K	T					
36. Schwab #4 - CVE Trust Account (See Notes #2 and #4 in Part VIII)									
37. - Schwab Money Market Fund		None	J	T					
38. - Maingate MLP FD C1	C	Dividend	L	T	Sold (part)	05/20/16	J		
39. - Thornburg Invt Income Builder	A	Dividend	J	T	Sold (part)	02/23/16	J		
40.					Sold (part)	04/13/16	J		
41.					Sold (part)	09/21/16	J		
42.					Sold (part)	12/22/16	J		
43. - Lazard Global Listed	B	Dividend	K	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Eagan, Claire V.

Date of Report

3/16/2017

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

NOTE - New funds added to an investment account are listed under that investment account header/line item.

1 --- Trust # 1 - (Part VII, line 2) - The Trust is the named beneficiary of a life insurance policy issued by Northwestern Mutual Life on the life of an individual who is still living. There are no other Trust assets.

2 --- Trust # 2 - (Part VII, line 3) - The Trust was created in 2000 to receive, hold and distribute certain assets. It was previously unfunded. On January 19, 2016, Schwab Account #2 (Part VII, lines 27 to 32) was closed and the assets transferred to Schwab Account #4, owned by this Trust and the only asset of this Trust. Therefore, the income and value of this Trust at the end of the reporting period are the same as Schwab Account #4.

3 --- Trust # 3 - (Part I, line 8) - This is an unfunded trust.

4 --- Schwab Account #4 - (Part VII, lines 36 to 43) - This account was opened on January 20, 2016 as an account of Trust #2 to receive all the assets transferred from Schwab Account #2.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Eagan, Claire V.

Date of Report

3/16/2017

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/ Claire V. Eagan**

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