

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009Report 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 USDCIN. Dist. of Oklahoma	3. Date of Report 4/6/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States Courthouse 333 W. 4th Street, Room 411 Tulsa, Oklahoma 74103	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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Trustee	Trust #1 [See #4 in Part VII and Note in Part VIII]
2. Trustee	Trust #2 [See #5 in Part VII and Note 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)

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

RECEIVED
2010 APR 13 P 3:41
U.S. DISTRICT COURT
DISTRICT OF OKLAHOMA

FINANCIAL DISCLOSURE REPORT
Page 2 of 8

Name of Person Reporting
Eagan, Claire V.

Date of Report
4/6/2010

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. 2009	Advanced Medical Instruments, Inc. - Employment
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. Richard A. Gronendyke - Family Friend	May 2009	New York City, NY	Wedding	Round-trip airline tickets.
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Eagan, Claire V.

Date of Report

4/6/2010

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. Washington Mutual (Previously thru Homeside Lending, Inc.)	Mortgage loan on Property #2 (See Item #3 at VII)	L
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Eagan, Claire V.

Date of Report

4/6/2010

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. Investor Fund / Bank of Oklahoma, N.A.	A	Interest	J	T					
2. Property #1 - Tulsa, OK		None	L	W					
3. Property #2 - Highland Beach, FL		None	N	W					
4. Trust #1 (See Note VIII)		None	J	T					
5. Trust #2 (See Note VIII)		None	J	T					
6. Schwab #1 - IRA (See Note VIII)									
7. - Schwab Money Market Fund		None	L	T					
8. - Schwab Value Adv (Money Mkt) (Y) (See VIII)									
9. - Russell US Core Equity (See Note VIII)	B	Dividend	M	T	Sold (part)	11/19/09	K		
10. - Russell US Small & Mid (Y) (See Note VIII)									
11. - Russell Emerging Markets Fund	B	Dividend	K	T					
12. - Russell International Developed (See Note VIII)					Sold	11/19/09	M		
13. - Russell Global Equity Fund	B	Dividend	M	T					
14. - Firsthand Technology Fund		None	J	T					
15. - Ishares Trust Dow Jones Select Div (See VIII)		None			Sold (part)	03/02/09	J		
16. -					Sold (part)	03/02/09	J		
17. -					Sold (part)	03/02/09	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Eagan, Claire V.

Date of Report

4/6/2010

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. -					Sold	03/02/09	J		
19. - Baron Partners Fund		None	K	T					
20. - Royce Premier Fund		None	L	T					
21. - PIMCO All Asset Fund	D	Dividend	M	T					
22. - PIMCO Total Return	D	Dividend	M	T	Buy (add'l)	05/07/09	K		
23. -					Buy (add'l)	12/17/09	L		
24. - Jensen Portfolio Class I	A	Dividend	J	T	Buy	03/02/09	J		
25. - Loomis Sayles Global Markets	A	Dividend	L	T	Buy	05/07/09	L		
26. - Artisan Int'l Fund	A	Dividend	K	T	Buy	11/19/09	K		
27. - Artisan Int'l Small Cap	A	Dividend	K	T	Buy	11/19/09	K		
28. - Dodge & Cox Int'l	A	Dividend	K	T	Buy	11/19/09	K		
29. Federal Home Loan Bank (Bond #2) (Y) (See Note VIII)									
30. Federal Home Loan Bank (Bond #3) (Y) (See Note VIII)									
31. - *Fed HM LN MTG (Bond #4) (See Note VIII)	D	Interest			Buy	2/12/08	L		
32. -					Redeemed	11/25/09	L		
33. - *Fed Nat'l Mtg (Bond #5) (See Note VIII)	C	Interest			Buy	2/14/08	L		
34. -					Redeemed	05/04/09	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Eagan, Claire V.

Date of Report

4/6/2010

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. Schwab #2 - Investment Acct. (See Note VIII)									
36. - Schwab Value Adv (Money Mkt) (Y) (See Note VIII)									
37. - Schwab Money Market Fund		None	J	T					
38. - Exxon Corp. - Common (See Note VIII)	A	Dividend	J	T	Sold (part)	04/08/09	J		
39. -					Sold (part)	10/01/09	J		
40. - PE Corp-Celera Genomics		None	J	T					
41. - Genvec		None	J	T					
42. - Russell Emerging Markets	A	Dividend	J	T					
43. Schwab #3 - IRA (See Note VIII)									
44. - Schwab Money Market		None	J	T					
45. - Rydex Biotechnology		None	J	T					
46. - Russell Emerging Markets	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Eagan, Claire V.

Date of Report

4/6/2010

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

NOTE - With permission from [REDACTED] FDR Auditor at AO, the Investments and Trusts section has been reorganized so that funds within each investment account may be listed together under that investment account header/line item.

- # 4 Trust # 1 - 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.
- # 5 Trust # 2 - The Trust was created in 2000 to receive, hold and distribute certain assets. No assets were received, held, or distributed in 2009.
- # 6 Charles Schwab #1 - IRA - Investments were made and managed through Schwab. No income was distributed to participants invested in the Funds. If there were any distributions from the Funds to Schwab, they were reinvested.
- #8 Schwab Value Advantage - Money market fund, closed cash account. Zero ending balance at end of 2008. No ownership or distribution in 2009.
- # 9 Russell U.S. Core Equity - On November 19, 2009, a partial sale of the investment occurred via public sale. The partial sale resulted in a loss.
- #10 Russell U.S. Small & Mid - No ownership or distribution in 2009. In 2008, the investment was sold.
- #12 Russell International Developed - On November 19, 2009, the investment was sold via public sale. The sale resulted in a loss.
- #15-18 ISHARES DJ Select Dividend Index - On March 2, 2009, the investment was sold via public sales. The sales resulted in a loss.
- #29 Federal Home Loan Bank (Bond #2) - No ownership or distribution in 2009. In 2008, the investment was redeemed.
- #30 Federal Home Loan Bank (Bond #3) - No ownership or distribution in 2009. In 2008, the investment was redeemed.
- #31-32 *Fed HM LN MTG (Bond #4) - Consulted with AO regarding proper reporting procedure. The purchase of this bond was inadvertently omitted from the 2008 report. Bond #4 was purchased in 2008, and redeemed on November 25, 2009. The transactions, including earned interest, are reported accordingly herewith. The redemption resulted in no loss or gain.
- #33-34 *Fed Nat'l Mtg (Bond #5) - Consulted with AO regarding proper reporting procedure. The purchase of this bond was inadvertently omitted from the 2008 report. Bond #5 was purchased in 2008, and redeemed on May 4, 2009. The transactions, including earned interest, are reported accordingly herewith. The redemption resulted in no loss or gain.
- #35 Schwab #2 - Investment Account - Investments were made and managed through Schwab. No income was distributed to participants invested in the Funds. If there were any distributions from the Funds to Schwab, they were reinvested.
- #36 Schwab Value Advantage - Money Market fund, closed cash account. Zero ending balance at end of 2008. No ownership or distribution in 2009.
- #38-39 Exxon Corp. - Common - On April 8 and October 1, 2009, partial sales of the investment occurred via public sale. The partial sales resulted in a loss.
- #43 Schwab #3 - IRA - Investments were made and managed through Schwab. No income was distributed to participants invested in the Funds. If there were any distributions from the Funds to Schwab, they were reinvested.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Eagan, Claire V.

Date of Report

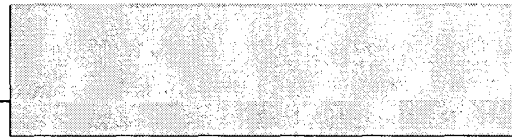
4/6/2010

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



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