

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/15/2016
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 01/01/2015 to 12/31/2015
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. 2015

SALARY FROM GOVERNMENT EMPLOYMENT

2. 2015

SELF-EMPLOYED ATTORNEY

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		None	L	T					
2. Schwab Cash Deposit Account	A	Int./Div.	K	T					
3. Schwab US Tsy Money Fd		None	L	T					
4. Wells Fargo Advtg Govt Fd	A	Dividend			Sold	10/23/15	L		
5. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	01/05/15	J		
6. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	02/05/15	J		
7. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	03/05/15	J		
8. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	04/06/15	J		
9. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	05/05/15	J		
10. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	06/05/15	J		
11. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	07/06/15	J		
12. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	08/05/15	J		
13. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	09/08/15	J		
14. Wells Fargo Advtg Govt Fd	A	Dividend			Buy (add'l)	10/05/15	J		
15. Wells Fargo Govt Sec Cl A	A	Dividend	L	T	Buy	10/23/15	L		
16. Schwab S&P 500 Index Fd	C	Dividend	M	T					
17. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	01/15/15	J		

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

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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 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. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	02/05/15	J		
19. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	03/05/15	J		
20. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	04/06/15	J		
21. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	05/05/15	J		
22. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	06/05/15	J		
23. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	07/06/15	J		
24. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	08/05/15	J		
25. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	09/08/15	J		
26. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	10/05/15	J		
27. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	11/05/15	J		
28. Schwab S&P 500 Index Fd	C	Dividend			Buy (add'l)	12/07/15	J		
29. IRA #1: Schwab US Tsy Money Fd		None	J	T					
30. IRA #1: Invensense Inc		None	J	T					
31. IRA #1: Wells Fargo Advantage Govt Fd	A	Dividend			Sold	10/23/15	J		
32. IRA #1: Wells Fargo Govt Sec Cl A	A	Dividend	J	T	Buy	10/23/15	J		
33. IRA #1: Dreyfus International Stock Index Fd	A	Dividend	K	T					
34. IRA #1: Dreyfus Small Cap Stock Index Fd	B	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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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. IRA #2: Schwab US Tsy Money Fd		None	K	T					
36. IRA #2: Schwab Value Advantage Fd		None			Distributed (part)	01/23/15	J		
37. IRA #2: Schwab Value Advantage Fd		None			Sold	06/08/15	J		
38. IRA #2: Dodge & Cox Income Fd	A	Dividend	K	T					
39. IRA #2: Dreyfus International Stock Index Fd	B	Dividend	L	T					
40. IRA #2: Dreyfus International Stock Index Fd	B	Dividend			Buy (add'l)	07/02/15	J		
41. IRA #2: Schwab S&P 500 Index Fd		None			Distributed	01/23/15	K		
42. IRA #2: Vanguard 500 Index Fd	C	Dividend	M	T					
43. IRA #2: Wells Fargo Advantage Govt Sec	B	Dividend			Sold	10/23/15	M		
44. IRA #2: Wells Fargo Govt Sec Cl A	A	Dividend	M	T	Buy	10/23/15	M		
45. IRA #2: Ishares Tr Russell 2000	A	Dividend	K	T					
46. IRA #2: Ishares Tr Russell 2000	A	Dividend			Sold (part)	06/01/15	J	B	
47. IRA #2: Ishares Tr Russell 2000	A	Dividend			Sold (part)	06/02/15	J	B	
48. IRA #2: Ishares Tr Russell 2000	A	Dividend			Sold (part)	06/08/15	J	A	
49. IRA #2: Ishares Tr Russell 2000	A	Dividend			Sold (part)	06/08/15	J	B	
50. IRA #2: Ishares Tr Russell 2000	A	Dividend			Sold (part)	06/23/15	J	C	
51. IRA #2: Ishares Tr Russell 2000	A	Dividend			Sold (part)	06/26/15	J	C	

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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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	(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)
52. IRA #2: Baird Core Plus Bd Inv	A	Dividend	J	T	Buy	06/26/15	J		
53. IRA #2: Schwab US Aggregate Bond ETF	A	Dividend	J	T	Buy	06/08/15	J		
54. IRA #2: Ishares Core S&P ETF	A	Dividend	K	T					
55. IRA #2: Ishares Core S&P ETF	A	Dividend			Sold (part)	06/26/15	J	C	
56. IRA #2: SPDR S&P 500 ETF	B	Dividend	L	T					
57. IRA #2: SPDR S&P Dividend ETF	A	Dividend	J	T					
58. Trust #3: Schwab 529 Aggressive		None	K	T	Buy (add'l)	02/27/15	J		
59. Trust #5: Schwab 529 Moderate		None	K	T	Buy (add'l)	02/27/15	J		
60. Trust #6: Schwab 529 Aggressive		None	J	T	Buy	02/27/15	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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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
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Washington, D.C. 20544