

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Eagan, Claire V.                                                                                                                     | <b>2. Court or Organization</b><br><br>USDC/N. Dist. of Oklahoma                                                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>4/27/2021                        |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge - Active                                                  | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>United States Courthouse<br>333 W. 4th Street, Room 411<br>Tulsa, Oklahoma 74103                                                                              |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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 Endowment Fund (non-profit educational assistance organization) |
| 6. Member       | University of Tulsa College of Law Dean's Advisory Board (private educational institution)                  |

## 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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Name of Person Reporting

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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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Eagan, Claire V.         | 4/27/2021      |

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.       |             |            |

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Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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)                                                                                     |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Schwab #1 - IRA                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 5. - Schwab Money Market Fund (See Note #3 in Part VIII)                                                                   |                                        | None                                          |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 6. - Jensen Quality Growth                                                                                                 | B                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 05/20/20                | L                               |                                |                                                                   |
| 7. - Loomis Sayles Global Markets                                                                                          | B                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. - Nuance Concentrated Value                                                                                             | B                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 05/20/20                | L                               |                                |                                                                   |
| 9. - Artisan Int'l Small Cap (Zero Ending Balance)                                                                         | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/14/20                | K                               |                                |                                                                   |
| 10. - Dodge & Cox Int'l                                                                                                    | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. -Metropolitan West Total Ret Bond                                                                                      | C                                      | Dividend                                      | N                                              | T                                         | Buy<br>(add'l)                                  | 03/11/20                | K                               |                                |                                                                   |
| 12.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/20/20                | L                               |                                |                                                                   |
| 13. -Schwab US Large Cap (Zero Ending Balance)                                                                             | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/14/20                | M                               | F                              |                                                                   |
| 14. - Artisan Intl Fund Adv                                                                                                | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. - iShares Russell Midcap                                                                                               | B                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. - Stoneridge Reinsurance Risk                                                                                          | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 02/28/20                | K                               |                                |                                                                   |
| 17.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 05/29/20                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Eagan, Claire V.

Date of Report

4/27/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/21/20         | J                        |                         |                                                            |
| 19.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/20/20         | J                        |                         |                                                            |
| 20. - Undiscovered Mgrs Behavioral Value                                                                                   | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. - Versus Cap Multi Mgr RE Income                                                                                       | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. - Lazard Global Listed                                                                                                 | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. -Dodge & Cox Global Stk                                                                                                | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. -Doubleline Shiller                                                                                                    | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 25. -American FD New World                                                                                                 | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. -MMF Inv Shares Sch Treas Obligation<br>(Zero Ending Balance)                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/14/20         | L                        |                         |                                                            |
| 27. -Oakmark Fund Inst                                                                                                     | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. -Moderna                                                                                                               |                                        | None                                   | J                                              | T                                  | Buy                                       | 07/16/20         | J                        |                         |                                                            |
| 29. -Stoneridge High Yield                                                                                                 | C                                      | Dividend                               | K                                              | T                                  | Buy                                       | 03/11/20         | K                        |                         |                                                            |
| 30. -Charles Schwab Bank Sweep (f/k/a Schwab<br>Money Market Fund)                                                         | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. Schwab #3 - IRA                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 32. - Schwab Money Market Fund (See Note #3<br>in Part VIII)                                                               |                                        | None                                   |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 33. - Lazard Global Listed                                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. -American FD New World                                                                                                 | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 06/17/20         | J                        | A                       |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. -Charles Schwab Bank Sweep (f/k/a Schwab Money Market Fund)                                                            | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 36. Schwab #4 - CVE Trust Account (See Note #2 in Part VIII)                                                               |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 37. - Schwab Money Market Fund (See Note #3 in Part VIII)                                                                  |                                        | None                                   |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 38. - Maingate MLP FD Cl                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold (part)                               | 02/28/20         | J                        |                         |                                                            |
| 39.                                                                                                                        |                                        |                                        |                                                |                                    | Sold (part)                               | 03/16/20         | J                        |                         |                                                            |
| 40. -Charles Schwab Bank Sweep (f/k/a Schwab Money Market Fund)                                                            | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 41. Prosperity Bank Checking Account                                                                                       |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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Name of Person Reporting

Eagan, Claire V.

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## 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. Since January 19, 2016, it has held the assets of Schwab Account #4 (Part VII, lines 36-40). On May 24, 2018, an existing personal checking account was transferred to the Trust. The checking account meets reporting requirements for 2020.

# 3 --- Schwab Money Market Fund - (Part VII, Lines 5, 32, and 37) - Prior to 2020, these cash equivalent accounts were labeled "Schwab Money Market Fund," and the income was interest, but inadvertently reported by me as a dividend. Schwab now conducts overnight bank sweeps of cash in these accounts. The label has changed to "Charles Schwab Bank Sweep," and the income is interest. The new bank sweep cash equivalent values and interest are reported in Part VII, Lines 30, 35, and 40.

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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/ 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