

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/06/2019
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 01/01/2018 to 12/31/2018
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.)*

<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. 2018	SELF-EMPLOYED ATTORNEY
2. 2018	SALARY FROM STANFORD UNIVERSITY
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. ABA Antitrust Meeting	April 9-16, 2018	Washington, DC	Activity of a professional organization	Transportation, hotel
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.)*

<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.		

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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.			Closed	07/25/18	K		
6. Schwab Bank (cash account)	A	Interest	K	T	Open	07/25/18	K		
7. Schwab S&P 500 Index Fd	C	Dividend	M	T	Sold (part)	01/16/18	J	B	
8.					Sold (part)	02/06/18	J	A	
9.					Sold (part)	02/06/18	J	A	
10.					Sold (part)	02/26/18	J	B	
11. USAA Tax Exempt Inter-term Fd	C	Dividend	M	T	Buy (add'l)	02/07/18	J		
12.					Buy (add'l)	02/07/18	J		
13.					Buy (add'l)	02/27/18	J		
14.					Buy (add'l)	04/02/18	J		
15. Baird Core Plus Bd Inv	B	Dividend	K	T	Buy (add'l)	01/16/18	J		
16. Schwab Fund Intl Large Co Index	A	Dividend	K	T	Buy (add'l)	02/26/18	J		
17.					Buy (add'l)	07/20/18	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	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 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.					Buy (add'l)	08/20/18	J		
19.					Buy (add'l)	09/20/18	J		
20.					Buy (add'l)	10/22/18	J		
21.					Buy (add'l)	11/20/18	J		
22.					Buy (add'l)	12/20/18	J		
23. Dodge & Cox Income Fd	A	Dividend	J	T	Buy	03/26/18	J		
24. Schwab Bank Savings Sweep	A	Int./Div.	K	T					
25. Charles Schwab US REIT	A	Dividend	J	T	Buy (add'l)	01/18/18	J		
26. IShares Gold ETF		None	J	T	Sold (part)	06/04/18	J		
27. IShares High Yield Corporate Bond ETF	A	Dividend			Sold (part)	06/04/18	J		
28.					Sold	06/06/18	J	A	
29. Schwab Emerging Markets Equity ETF	A	Dividend	J	T					
30. Schwab Fundamental Emerg Mkts Lg Co ETF	A	Dividend	J	T	Buy (add'l)	07/10/18	J		
31. Schwab Fundamental Intl Lg Co ETF	B	Dividend	K	T	Buy (add'l)	07/10/18	J		
32.					Buy (add'l)	09/26/18	J		
33.					Buy (add'l)	11/27/18	J		
34. Schwab Fundamental Intl Sm Co ETF	A	Dividend	J	T	Buy (add'l)	11/27/18	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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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	(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 Fundamental US Large Co ETF	B	Dividend	K	T	Buy (add'l)	11/27/18	J		
36. Schwab Fundamental US Small Co ETF	A	Dividend	K	T	Buy (add'l)	04/20/18	J		
37.					Buy (add'l)	09/26/18	J		
38.					Buy (add'l)	11/27/18	J		
39. Schwab International Equity ETF	A	Dividend	J	T	Buy (add'l)	11/27/18	J		
40. Schwab International Small Cap Eqty ETF	A	Dividend	J	T					
41. Schwab US Large Cap ETF	A	Dividend	K	T	Buy (add'l)	11/27/18	J		
42. Schwab US Small Cap ETF	A	Dividend	J	T					
43. VanEck Vectors JP Morgan EM Loc Curr Bd ETF	A	Dividend	J	T	Sold (part)	06/04/18	J		
44. Vanguard Global ex-US Real Est ETF	A	Dividend	J	T					
45. SPDR Blmbrg Brclly Emg Mkt LCL ETF	A	Dividend	J	T					
46. Xtrackers USD High Yield Cor Bond ETF	A	Dividend	J	T	Buy (add'l)	01/18/18	J		
47. iShares CA Muni Bond ETF	A	Dividend	K	T	Buy	06/04/18	K		
48.					Buy (add'l)	07/10/18	J		
49.					Buy (add'l)	09/26/18	J		
50. Schwab US TIPS ETF	A	Dividend	J	T	Buy	06/04/18	J		
51. IRA #1: Schwab Cash Deposit Account	A	Interest	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
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52. IRA #1: Schwab US Tsy Money Fd	A	Int./Div.			Closed	07/25/18	J		
53. IRA #1: Schwab Bank (cash account)	A	Interest	J	T	Open	07/25/18	J		
54. IRA #1: Baird Core Plus Bd Inv	A	Dividend	J	T					
55. IRA #1: Dreyfus Small Cap Stock Index Fd	B	Dividend	J	T					
56. IRA #1: Invesco S&P Intl Dev Low Volatility ETF (formerly Powershares)	A	Dividend	K	T					
57. IRA #2: Schwab US Tsy Money Fd	A	Int./Div.			Closed	07/25/18	J		
58. IRA #2: Schwab Bank (cash account)	A	Interest	J	T	Open	07/25/18	J		
59. IRA #2: Dodge & Cox Income Fd	C	Dividend	L	T					
60. IRA #2: Vanguard 500 Index Fd	C	Dividend	M	T					
61. IRA #2: Ishares Russell 2000	A	Dividend	K	T					
62. IRA #2: Baird Core Plus Bd Inv	C	Dividend	M	T	Sold (part)	11/16/18	K		
63. IRA #2: Schwab US Aggregate Bond ETF	A	Dividend	J	T					
64. IRA #2: Ishares Core S&P ETF	A	Dividend	L	T					
65. IRA #2: SPDR S&P 500 ETF	B	Dividend	M	T					
66. IRA #2: SPDR S&P Dividend ETF	A	Dividend	K	T					
67. IRA #2: Invesco S&P Intl Dev Low Volatility ETF (formerly Powershares)	B	Dividend	L	T					
68. IRA #2: Schwab Fund Intl Large Co Index	A	Dividend	J	T					

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69. SEP-IRA #1: Schwab Cash Deposit Account	A	Interest	J	T					
70. SEP-IRA #1: Baird Core Plus Bd Inv	A	Dividend	J	T					
71. SEP-IRA #1: Schwab S&P 500 Index Fd	A	Dividend	K	T					
72. SEP-IRA #1: SPDR S&P 500 ETF	A	Dividend	J	T					
73. SEP-IRA #1: Schwab Fund Intl Small Co Index	A	Dividend	J	T					
74. SEP-IRA #1: Schwab US Aggregate Bond ETF	A	Dividend	J	T	Buy	04/18/18	J		
75. Trust #3: Schwab 529 60% Equity Portfolio		None	K	T					
76. Trust #5: Schwab 529 60% Equity Portfolio		None	K	T					
77. Trust #6: Schwab 529 95% Equity Portfolio		None	J	T					

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

Part VII, Investments and Trusts:

Omission of the following assets disclosed on previous report due to mutual fund name change on 06/04/18, with no purchase or sale by filer:

IRA #1: Powershares S&P International DE ETF

IRA #2: Powershares S&P International DE ETF

New mutual fund name is Invesco S&P International Developed Low Volatility ETF (see items #56 and #67)

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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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One Columbus Circle, N.E.
Washington, D.C. 20544