AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 1. Person Reporting (last name, first, middle initial) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| WILKEN, CLAUDIA | USDC FOR THE NO DIST OF CALIF | 05/07/2024 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| US DISTRICT JUDGE, SENIOR | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final | 01/01/2023 **to** 12/31/2023 |
| | **5b.** ☐ Amended Report | |
| **7. Chambers or Office Address** | | |
| 1301 CLAY STREET<br>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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | TRUSTEE | TRUST #3 |
| 2. | TRUSTEE | TRUST #5 |
| 3. | TRUSTEE | TRUST #6 |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (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.)*

| | DATE | SOURCE |
|---|---|---|
| 1. | 2023 | SELF-EMPLOYED ATTORNEY |
| 2. | 2023 | UNIVERSITY OF CALIFORNIA WAGES |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **WILKEN, CLAUDIA** | 05/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | Wells Fargo Bank accounts | A | Interest | M | T | | | | | |
| 2. | Schwab Cash Deposit Account | | None | J | T | | | | | |
| 3. | Victory Tax Exempt Inter-term Fd (USATX) | A | Dividend | J | T | | | | | |
| 4. | Schwab S&P 500 Index Fd (SWPPX) | A | Dividend | K | T | | | | | |
| 5. | Schwab Bank (cash account) | A | Interest | K | T | | | | | |
| 6. | Schwab Value Advantage Money Mkt Fd (SWVXX) | D | Dividend | M | T | | | | | |
| 7. | Schwab S&P 500 Index Fd (SWPPX) | C | Dividend | M | T | Buy (add'l) | 11/15/23 | J | | |
| 8. | Victory Tax Exempt Inter-term Fd (USATX) | D | Dividend | N | T | Buy (add'l) | 01/23/23 | J | | |
| 9. | | | | | | Buy (add'l) | 03/22/23 | J | | |
| 10. | Baird Core Plus Bd Inv (BCOSX) | B | Dividend | L | T | | | | | |
| 11. | Schwab Fund Intl Large Co Index (SFNNX) | C | Dividend | L | T | Buy (add'l) | 08/15/23 | J | | |
| 12. | | | | | | Buy (add'l) | 08/17/23 | J | | |
| 13. | | | | | | Buy (add'l) | 11/15/23 | J | | |
| 14. | Schwab Fund Intl Small Co Index (SFILX) | A | Dividend | K | T | | | | | |
| 15. | Dodge & Cox Income Fd (DODIX) | A | Dividend | K | T | | | | | |
| 16. | Schwab US Small Cap ETF (SCHA) | A | Dividend | K | T | | | | | |
| 17. | Schwab US Aggregate Bond ETF (SCHZ) | B | Dividend | L | T | Buy (add'l) | 01/06/23 | J | | |

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. Ishares Russell 2000 (IWM) | A | Dividend | K | T | | | | | |
| 19. SPDR S&P 500 ETF (SPY) | A | Dividend | K | T | Buy (add'l) | 01/06/23 | J | | |
| 20. Schwab Bank Savings Sweep | C | Interest | L | T | | | | | |
| 21. Charles Schwab US REIT (SCHH) | A | Dividend | J | T | Buy (add'l) | 01/09/23 | J | | |
| 22. | | | | | Buy (add'l) | 01/24/23 | J | | |
| 23. | | | | | Buy (add'l) | 04/20/23 | J | | |
| 24. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 25. | | | | | Sold (part) | 08/23/23 | J | | |
| 26. IShares Gold ETF (IAU) | | None | J | T | Buy (add'l) | 01/09/23 | J | | |
| 27. | | | | | Buy (add'l) | 01/24/23 | J | | |
| 28. | | | | | Sold (part) | 08/23/23 | J | A | |
| 29. Schwab Emerging Markets Equity ETF (SCHE) | A | Dividend | J | T | Buy (add'l) | 01/24/23 | J | | |
| 30. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 31. Schwab Fundamental Emerg Mkts Lg Co ETF (FNDE) | B | Dividend | K | T | Buy (add'l) | 01/24/23 | J | | |
| 32. | | | | | Buy (add'l) | 04/20/23 | J | | |
| 33. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 34. | | | | | Buy (add'l) | 08/11/23 | J | | |

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|---|---|---|---|---|---|---|---|---|---|
| 35. Schwab Fundamental Intl Lg Co ETF (FNDF) | B | Dividend | K | T | Buy (add'l) | 01/24/23 | J | | |
| 36. | | | | | Sold (part) | 03/29/23 | J | A | |
| 37. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 38. | | | | | Sold (part) | 08/23/23 | J | B | |
| 39. Schwab Fundamental Intl Sm Co ETF (FNDC) | B | Dividend | K | T | Buy (add'l) | 01/24/23 | J | | |
| 40. | | | | | Buy (add'l) | 08/11/23 | J | | |
| 41. Schwab Fundamental US Large Co ETF (FNDX) | B | Dividend | L | T | Buy (add'l) | 01/09/23 | J | | |
| 42. | | | | | Buy (add'l) | 01/24/23 | J | | |
| 43. | | | | | Buy (add'l) | 04/20/23 | J | | |
| 44. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 45. | | | | | Sold (part) | 08/23/23 | K | D | |
| 46. Schwab Fundamental US Small Co ETF (FNDA) | A | Dividend | L | T | Buy (add'l) | 01/09/23 | J | | |
| 47. | | | | | Buy (add'l) | 01/24/23 | J | | |
| 48. | | | | | Buy (add'l) | 04/20/23 | J | | |
| 49. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 50. | | | | | Sold (part) | 08/23/23 | J | A | |
| 51. | | | | | Buy (add'l) | 11/10/23 | J | | |

1. Income Gain Codes: (See Columns B1 and D4) 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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|---|---|---|---|---|---|---|---|---|---|
| 52. Schwab International Equity ETF (SCHF) | A | Dividend | K | T | Buy (add'l) | 01/24/23 | J | | |
| 53. | | | | | Sold (part) | 08/23/23 | J | B | |
| 54. Schwab International Small Cap Eqty ETF (SCHC) | A | Dividend | J | T | Buy (add'l) | 01/24/23 | J | | |
| 55. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 56. | | | | | Sold (part) | 08/23/23 | J | | |
| 57. Schwab US Large Cap ETF (SCHX) | A | Dividend | K | T | Buy (add'l) | 01/09/23 | J | | |
| 58. | | | | | Buy (add'l) | 01/24/23 | J | | |
| 59. | | | | | Sold (part) | 08/23/23 | K | C | |
| 60. Schwab US Small Cap ETF (SCHA) | A | Dividend | K | T | Buy (add'l) | 01/09/23 | J | | |
| 61. | | | | | Buy (add'l) | 01/24/23 | J | | |
| 62. | | | | | Sold (part) | 03/29/23 | J | A | |
| 63. | | | | | Buy (add'l) | 05/04/23 | J | | |
| 64. | | | | | Sold (part) | 08/23/23 | J | B | |
| 65. SPDR Blmbrg Brcly Emg Mkt LCL ETF (EBND) | A | Dividend | J | T | Buy (add'l) | 01/24/23 | J | | |
| 66. | | | | | Buy (add'l) | 09/15/23 | J | | |
| 67. | | | | | Buy (add'l) | 11/10/23 | J | | |
| 68. Xtrackers Inter Real Est ETF (HAUZ) | A | Dividend | J | T | Buy (add'l) | 01/24/23 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
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| | 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 | |
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|---|---|---|---|---|---|---|---|---|---|
| 69. | | | | | Buy (add'l) | 04/20/23 | J | | |
| 70. | | | | | Sold (part) | 08/23/23 | J | A | |
| 71. IShares CA Muni Bond ETF (CMF) | B | Dividend | M | T | Buy (add'l) | 01/24/23 | J | | |
| 72. | | | | | Buy (add'l) | 03/29/23 | K | | |
| 73. | | | | | Buy (add'l) | 04/20/23 | J | | |
| 74. | | | | | Buy (add'l) | 08/11/23 | J | | |
| 75. | | | | | Buy (add'l) | 08/23/23 | L | | |
| 76. | | | | | Sold | 09/15/23 | M | | |
| 77. | | | | | Buy | 10/16/23 | M | | |
| 78. | | | | | Buy (add'l) | 11/10/23 | J | | |
| 79. Schwab US TIPS ETF (SCHP) | A | Dividend | J | T | Buy (add'l) | 01/09/23 | J | | |
| 80. | | | | | Buy (add'l) | 01/24/23 | J | | |
| 81. | | | | | Sold | 03/29/23 | J | A | |
| 82. | | | | | Buy | 08/23/23 | J | | |
| 83. Invesco FTSE RAFI Emerging Mkts ETF (PXH) | A | Dividend | K | T | Sold (part) | 08/23/23 | J | B | |
| 84. | | | | | Buy (add'l) | 09/15/23 | J | | |
| 85. Invesco FTSE RAFI Developed Mkts (PXF) | A | Dividend | | | Sold | 03/29/23 | J | A | |

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|---|---|---|---|---|---|---|---|---|---|---|
| 86. | Invesco FTSE RAFI US 1000 ETF (PRF) | A | Dividend | | | Sold | 08/23/23 | J | B | |
| 87. | Invesco FTSE RAFI US 1500 Small-mid ETF (PRFZ) | A | Dividend | | | Sold | 08/23/23 | K | C | |
| 88. | Invesco CA AMT Free Mncpl Bnd ETF (PWZ) | B | Dividend | L | T | Buy (add'l) | 09/15/23 | M | | |
| 89. | | | | | | Sold (part) | 10/16/23 | M | | |
| 90. | IShares Core MSCI Emerging ETF (IEMG) | A | Dividend | K | T | Sold (part) | 03/29/23 | J | A | |
| 91. | | | | | | Sold (part) | 08/23/23 | J | A | |
| 92. | IShares Core US REIT ETF (USRT) | A | Dividend | J | T | Sold (part) | 08/23/23 | J | A | |
| 93. | SPDR Portfolio TIPS ETF (SPIP) | | None | | | Sold | 03/29/23 | K | A | |
| 94. | Vaneck JP Morgan EM LCL Cry Bnd ETF (EMLC) | A | Dividend | J | T | | | | | |
| 95. | Vanguard FTSE All Wrld Ex US Sml Cap ETF (VSS) | A | Dividend | J | T | Sold (part) | 08/23/23 | J | A | |
| 96. | Xtrackers USD High Yield Cor Bnd ETF (HYLB) | A | Dividend | J | T | Buy | 09/15/23 | J | | |
| 97. | | | | | | Buy (add'l) | 11/10/23 | J | | |
| 98. | IRA #1: Schwab Bank (cash account) | A | Interest | J | T | | | | | |
| 99. | IRA #1: Baird Core Plus Bd Inv (BCOSX) | A | Dividend | J | T | | | | | |
| 100. | IRA #1: BNY Mellon Small Cap Stk Ind Fd (DISSX) | B | Dividend | K | T | Sold (part) | 11/10/23 | J | | |
| 101. | IRA #1: Invesco S&P Intl Dev Low Vol ETF (IDLV) | A | Dividend | K | T | | | | | |
| 102. | IRA #1: Schwab S&P 500 Index Fd (SWPPX) | A | Dividend | J | T | Sold (part) | 11/15/23 | J | A | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 | |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | | |
| | U =Book Value | V =Other | W =Estimated | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **WILKEN, CLAUDIA** | 05/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 103. IRA #2: Schwab Bank (cash account) | A | Interest | J | T | | | | | |
| 104. IRA #2: Dodge & Cox Income Fd (DODIX) | C | Dividend | L | T | Distributed (part) | 11/10/23 | K | | |
| 105. IRA #2: Vanguard 500 Index Fd (VFIAX) | C | Dividend | N | T | | | | | |
| 106. IRA #2: Ishares Russell 2000 (IWM) | A | Dividend | K | T | | | | | |
| 107. IRA #2: Baird Core Plus Bd Inv (BCOSX) | C | Dividend | L | T | Distributed (part) | 11/10/23 | K | | |
| 108. IRA #2: Ishares Core S&P ETF (IJH) | B | Dividend | M | T | | | | | |
| 109. IRA #2: SPDR S&P 500 ETF (SPY) | C | Dividend | M | T | | | | | |
| 110. IRA #2: SPDR S&P Dividend ETF (SDY) | A | Dividend | K | T | | | | | |
| 111. IRA #2: Invesco S&P Intl Dev Low Vol ETF (IDLV) | B | Dividend | L | T | | | | | |
| 112. IRA #2: Schwab Fund Intl Large Co Index (SFNNX) | A | Dividend | J | T | | | | | |
| 113. SEP-IRA #1: Schwab Cash Deposit Account | A | Interest | J | T | | | | | |
| 114. SEP-IRA #1: Schwab Tsy Obligation MMF (SNOXX) | A | Dividend | K | T | | | | | |
| 115. SEP-IRA #1: Schwab S&P 500 Index Fd (SWPPX) | A | Dividend | K | T | | | | | |
| 116. SEP-IRA #1: SPDR S&P 500 ETF (SPY) | A | Dividend | K | T | Buy (add'l) | 09/15/23 | J | | |
| 117. SEP-IRA #1: Schwab US Aggregate Bond ETF (SCHZ) | C | Dividend | L | T | | | | | |
| 118. SEP-IRA #1: Schwab Fund Intl Large Co Index (SFNNX) | A | Dividend | J | T | | | | | |
| 119. Trust #3: Schwab 529 30% Equity Portfolio | | None | L | T | Buy (add'l) | 11/22/23 | J | | |

1. Income Gain Codes: (See Columns B1 and D4)
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; 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 (See Columns C1 and D3)
J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2)
Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
|---|---|
| **WILKEN, CLAUDIA** | 05/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 120. Trust #5: Schwab 529 40% Equity Portfolio | | None | K | T | Buy (add'l) | 01/03/23 | J | | |
| 121. | | | | | Buy (add'l) | 02/03/23 | J | | |
| 122. | | | | | Buy (add'l) | 03/03/23 | J | | |
| 123. | | | | | Buy (add'l) | 04/04/23 | J | | |
| 124. | | | | | Buy (add'l) | 05/03/23 | J | | |
| 125. | | | | | Buy (add'l) | 06/05/23 | J | | |
| 126. | | | | | Buy (add'l) | 07/05/23 | J | | |
| 127. | | | | | Buy (add'l) | 08/03/23 | J | | |
| 128. | | | | | Buy (add'l) | 09/06/23 | J | | |
| 129. | | | | | Buy (add'l) | 10/03/23 | J | | |
| 130. | | | | | Buy (add'l) | 11/03/23 | J | | |
| 131. | | | | | Buy (add'l) | 11/22/23 | J | | |
| 132. | | | | | Buy (add'l) | 12/05/23 | J | | |
| 133. Trust #6: Schwab 529 70% Equity Portfolio | | None | K | T | Buy (add'l) | 01/18/23 | J | | |
| 134. | | | | | Buy (add'l) | 02/21/23 | J | | |
| 135. | | | | | Buy (add'l) | 03/20/23 | J | | |
| 136. | | | | | Buy (add'l) | 04/18/23 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **WILKEN, CLAUDIA** | 05/07/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 137. | | | | | Buy (add'l) | 05/18/23 | J | | |
| 138. | | | | | Buy (add'l) | 06/21/23 | J | | |
| 139. | | | | | Buy (add'l) | 07/18/23 | J | | |
| 140. | | | | | Buy (add'l) | 08/18/23 | J | | |
| 141. | | | | | Buy (add'l) | 09/19/23 | J | | |
| 142. | | | | | Buy (add'l) | 10/18/23 | J | | |
| 143. | | | | | Buy (add'l) | 11/20/23 | J | | |
| 144. | | | | | Buy (add'l) | 11/22/23 | J | | |
| 145. | | | | | Buy (add'l) | 12/19/23 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

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

Part VII, Investments and Trusts:

Lines 3 & 8 - Omission of the following asset disclosed on previous report due to name change effective 4/24/23:

USAA Tax Exempt Inter-term Fd (USATX) became Victory Tax Exempt Inter-term Fd (USATX)

Lines 10 & 107 - Baird Core Plus Bd Inv (BCOSX) shares transferred from IRA #2 to non-retirement account on 11/10/23. Value on date of transfer $20,160.00.

Lines 15 & 104 - Dodge & Cox Income Fd (DODIX) shares transferred from IRA #2 to non-retirement account on 11/10/23. Value on date of transfer $21,492.00.

Line 119 - Omission of the following asset disclosed on previous report due to age-based exchange of Sec. 529 education funds, with no purchase or sale by filer:

Trust #3: Schwab 529 40% Equity Portfolio - 04/05/23. New fund name is Schwab 529 30% Equity Portfolio.

Lines 120-132 - Omission of the following asset disclosed on previous report due to age-based exchange of Sec. 529 education funds, with no purchase or sale by filer:

Trust #5: Schwab 529 50% Equity Portfolio - 12/05/23. New fund name is Schwab 529 40% Equity Portfolio.

Lines 133-145 - Omission of the following asset disclosed on previous report due to age-based exchange of Sec. 529 education funds, with no purchase or sale by filer:

Trust #6: Schwab 529 80% Equity Portfolio - 11/07/22. New fund name is Schwab 529 70% Equity Portfolio. (Disclosed on 2022 FDR, but Line 180 fund name was not changed from 80% to 70%.)

| Name of Person Reporting | Date of Report |
|---|---|
| WILKEN, CLAUDIA | 05/07/2024 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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